



## UCL Academic Manual 2018-19

# Chapter 6: Student Casework Framework

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Chapter 6 is UCL's regulatory framework for Student Conduct, Complaints and related procedures.

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# 1 Code of Conduct for Students

UCL enjoys a reputation as a world-class university. It was founded on the basis of equal opportunity, being the first English university to admit students irrespective of their faith and cultural background. It was the first university in England to admit women. UCL expects its members to conduct themselves at all times in a manner that does not bring UCL into disrepute, this includes conduct whilst not on UCL premises.

## **Good conduct means:**

- In general realising that you are an ambassador for UCL and behaving accordingly. This applies anywhere and at any time but is particularly important in the local community around UCL, whilst on fieldwork, whilst on other study away from UCL, on the sports field and whilst engaged in any other UCL-related activity.
- Recognising the diversity of the UCL community and not discriminating against others on the basis of their age, ethnic origin, race, nationality, membership of a national minority, culture, language, religious faith or affiliation or lack thereof, political affiliation or opinions or lack thereof, sex, gender, gender identity, sexuality, sexual orientation, marital status, caring or parental responsibilities, illness, ability or disability, mental health status, medical condition, physical appearance, genetic features, parentage, descent, full or part-time student status, socio-economic background, employment status, trade union affiliation, spent or irrelevant criminal convictions or any other irrelevant distinction.
- Acting responsibly, being honest, being considerate, respectful and courteous towards others. Behaving in a respectful manner towards others so that they do not feel that they are being harassed or bullied and abiding by the law.

## **Whilst learning:**

- Following the rules laid down by UCL for academic activity, the use of the Library, Information Services and other services.
- Being punctual for classes and other appointments.
- Informing the relevant person if you are going to be absent or delayed for an activity where you are expected to attend.
- Being aware of the advice and assistance available on academic and other matters from sources such as personal, programme and departmental tutors.
- Seeking help for yourself when you need it.

## **Around UCL:**

- Showing respect for UCL property.
- Informing yourself of UCL health and safety policies and following them.
- Playing your part in maintaining security and being prepared to produce your identity card when requested.
- Caring for the environment at UCL by respecting buildings, spaces and facilities.
- Recycling and disposing of litter responsibly.
- Being aware of UCL's advice for saving energy.
- Showing consideration for others regarding noise (e.g. switching mobile phones off in classes).

## **Social and sporting behaviour:**

- Showing good sportsmanship whilst taking part in sporting activities.
- Refraining from exhibiting displays of drunken or loutish behaviour.
- Ensuring that any activity you engage in using the internet, including virtual learning environments (e.g. Moodle), social networking sites (e.g. Facebook,

Twitter etc.), blogs or other web resources, refrains from causing offence and could not be regarded as bullying or harassment.

- Respecting the right of freedom of speech provided it is within the law.

**Awareness and caring for others:**

- Being aware of the help and support available at UCL from sources such as [Student Psychological and Counselling Services](#), [the Disability, Mental Health and Wellbeing team in Student Support and Wellbeing \(SSW\)](#) and the [Students' Union Rights and Advice Centre](#).
- Showing consideration for the welfare of your friends and peers and, if appropriate, providing advice on seeking help.

**Links to other UCL policies that relate to conduct:**

- [Section 8: Student Disciplinary Code and Procedure](#)
- [Equalities](#)
- [Examinations and Awards](#)
- [Guidelines for Fieldwork](#)
- [Harassment and Bullying](#)
- [Health and Safety](#)
- [ISD Regulations](#)
- [Library Regulations](#)
- [Student Accommodation General Regulations](#)
- [Security](#)

**Links to sources of advice and assistance:**

- [Student Psychological and Counselling Services](#)
- [The Disability, Mental Health and Wellbeing team](#)
- [Students' Union UCL](#)
- [Students' Union Rights and Advice Centre](#)
- [Energy Saving Information](#)

## 2 Support to Study Policy

1. UCL is committed to maintaining high standards of performance for its students in terms of teaching, learning and assessment and to ensuring that the quality of its awards is not undermined or compromised.
2. UCL is also committed to supporting its students' academic abilities as well as their wellbeing, recognising a positive approach to the management of physical and mental health issues that may affect student learning, academic achievement and the wider student experience.
3. UCL is mindful of its duty of care and its obligations to students under the Equality Act 2010, to make reasonable adjustments, where possible and where appropriate. It is also aware that there may be occasions where a student's physical or mental health may give rise to concerns about the student's fitness to study and capacity to engage with his/her studies and/or the appropriateness of their behaviour in relation to the UCL community as a whole.
4. UCL is aware of its responsibility to maintain a safe and positive environment for all students and staff but expects students to study, work and live co-operatively and in close proximity with each other as well as conduct themselves in a manner which does not impact negatively on those around them. However, UCL also has to balance the needs and rights of an individual student against the need to protect the wellbeing of fellow students and staff.
5. In order to assist students to meet their academic obligations and maintain the quality of its degrees, whilst at the same time supporting the students' welfare needs, UCL has a range of procedures in place including:
  - Special assessment arrangements, such as additional writing time, rest breaks and/or ergonomic aids
  - Extensions to deadlines for assessed coursework
  - Suspensions of regulations to facilitate a student's studies, although such suspensions would be considered carefully on a case by case basis, but would not automatically be approved
  - Variation of a programme of study or a module, although such variations would be considered carefully on a case by case basis, but would not automatically be approved
  - Advice and guidance from UCL professionals, including [the Disability, Mental Health and Wellbeing team in Student Support and Wellbeing \(SSW\)](#), [Student Psychological and Counselling Services](#), the [UCL Student Mediator](#), UCL Hall Wardens, and other resources such as the Gower Place Practice and the chaplains appointed to UCL
  - Support from academic staff, such as Faculty Tutors, Faculty Graduate Tutors, Departmental Tutors, Personal Tutors, Supervisors
  - Student Learning Agreements
  - Defined periods of interruption from studies or delaying the start of studies or a change of degree programme
  - Student Cause for Concern referrals
  - Student Support and Wellbeing welfare appointments.
6. Students with physical and/or mental health concerns should be encouraged to make contact with the available support services as early as possible in order to facilitate reasonable adjustments and to sustain their academic obligations and their wellbeing. Students should maintain regular engagement with the support services as recommended.
7. When studying away from UCL, including students on a period of study abroad, electives, placements, postgraduate research activities, students have an obligation to ensure their health and wellbeing. They should plan for their time away from UCL, seeking advice from their academic advisers and other UCL professionals, as appropriate. There may be occasions where a student may be deemed fit to study at

- UCL but not more remotely. In these cases, consideration would be given for a variation of the programme of study or a given module, or to a transfer from one degree programme to another.
8. Students, who are returning from a period of interruption or where permission has been given to delay the start of studies, may be required to provide medical information to indicate that their studies will not be detrimental to their health and their health to their studies, as well as have a welfare appointment with the Director of Student Support and Wellbeing. Students may also be required to sign up to a Student Learning Agreement.
  9. Where a student has been unable to maintain the levels of academic engagement required and/or where UCL considers that the needs, rights, safety and security of the UCL community outweigh those of an individual student, UCL may take action in a number of ways:
    - For cases of non-attendance and academic insufficiency [Section 4: Learning Agreements, Barring, Suspensions and Terminations of Study](#) applies.
    - For straightforward cases of misconduct [Section 8: Student Disciplinary Code and Procedures](#) applies.
    - For cases of serious mental ill-health requiring early intervention the [UCL Student Mental Health Policy](#) applies.
    - For cases of MBBS students and other students in the School of Life and Medical Sciences where there is a concern of fitness to practise, the [SLMS Fitness to Practise Policies](#) apply.
    - For cases where a student's health, wellbeing or behaviour is having a detrimental effect on the ability of an individual student to meet the academic requirements of study or impacting on the wellbeing of other students and staff, [Section 3: Fitness to Study Procedure](#) applies.
  10. There may be instances where a student has exhibited behaviour which would normally be handled under [Section 8: Student Disciplinary Code and Procedures](#), but this may be (or is suspected to be) the result of an underlying physical and/or mental health difficulty. Depending on the individual circumstances, this may be considered under [Section 3: Fitness to Study Procedure](#).
  11. The Support to Study Policy will be regularly reviewed by the Director of Student Support and Wellbeing.
  12. Cases considered under [Section 3: Fitness to Study Procedure](#) will be monitored and reviewed on an annual basis to identify where any improvements are required in the Policy, or in the procedures of the support services offered within UCL or on which UCL draws significantly.

## 3 Fitness to Study Procedure

This Procedure should be read in conjunction with [Section 2: Support to Study Policy](#).

### 3.1 Context

1. The UCL Fitness to Study Procedure is intended to be used where students are not able to continue or able to return to continue the level and intensity of study required in spite of reasonable adjustments having been put in place and cannot study, work and live co-operatively and in close proximity with others as well as conduct themselves in a manner which does not impact negatively on those around them. It also applies where UCL has been unable to balance the needs and rights of an individual student against the need to protect the wellbeing of fellow students and staff.
2. The Procedure aims to ensure that decisions about a student's ability to study are made through a supportive process, after appropriate consultation and in the best interests of the student.
3. The Procedure is to be used in the following circumstances:
  - Where a student exhibits behaviour that would usually be dealt with as a disciplinary matter but is considered to be the result of an underlying physical and/or mental health difficulty
  - The student's attendance record, academic sufficiency and/or behaviour are not satisfactory/acceptable and this is believed to be the result of a physical and/or mental health difficulty
  - The student's behaviour is at risk of affecting negatively the teaching and learning activities of fellow students and staff and/or the spirit of studying, working and living co-operatively and in close proximity with others as well as of conducting himself or herself in a manner which does impact negatively on others
  - The student's behaviour presents a serious and immediate risk to self or others and/or the University's reputation.
4. The Procedure is not intended to deal with (i) routine cases of non-attendance and/or academic insufficiency, which are covered elsewhere in the UCL Academic Manual or (ii) straightforward cases of misconduct handled under [Section 8: Student Disciplinary Code and Procedures](#) or (iii) cases considered under the UCL Mental Health Policy, or (iv) cases of MBBS students and other students from the School of Life and Medical Sciences where the [SLMS Fitness to Practise Policies](#) apply.

### 3.2 Initial Stages

1. The Director of Student Support and Wellbeing (or nominee)<sup>1</sup> will review the medical information provided by the student's qualified medical /clinical practitioners, and any other information provided, which could include reports from a student's academic advisers and other members of the UCL community, student Cause for Concern referrals, a student's relatives or other external people. They will also draw on advice from medical advisers appointed by UCL and/or other healthcare specialists.
2. The student will usually be required to meet with the Director of Student Support and Wellbeing or another designated role holder, with UCL's appointed medical advisers, to ensure that the student's health is not detrimental to the academic studies or the academic studies detrimental to the student's health, and to determine what adjustments, or further adjustments, if some have already been put in place, can be sought.

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<sup>1</sup>Where the Procedure refers to a role holder, it should be understood that the action may be undertaken by a nominee

3. In reviewing the student, and having consulted healthcare specialists and all available information, the Director of Student Support and Wellbeing will discuss the student's situation with his/her academic advisers and other UCL officeholders, such as the Vice-Provost (Education & Student Affairs) and the Registrar, to determine whether any adjustments can be put in place to assist the student, or whether further information is required.
4. Possible outcomes might include:
  - The use of a student learning agreement
  - The seeking of other adjustments, such as a suspension of regulations, through the relevant UCL authority
  - Referral to a medical practitioner, either within UCL or externally, or referral back to the student's own medical advisers or specialists
  - A further meeting with the Director of Student Support and Wellbeing or another designated role holder, with UCL's appointed medical advisers
  - Referral of the case to another UCL procedure such as [Section 4: Learning Agreements, Barring, Suspensions and Terminations of Study](#), or [Section 8: Student Disciplinary Code and Procedure](#), or the [UCL Student Mental Health Policy](#)
  - Referral to the [UCL Student Mediator](#)
  - A recommendation to interrupt studies or delay the start of studies or withdraw from UCL or seek a change of degree programme
  - A recommendation to consider the student's case under the Further Stages of this procedure.
5. Students will be informed in writing of the outcome within 10 working days.
6. A review period will be set in discussion with the student, which will include the process for monitoring the student's situation and to ensure that the student is benefiting from the arrangements made.
7. Where the student fails to engage with this procedure, by not providing satisfactory documentation or non-attendance at meetings or refusal to engage with any referral, UCL reserves the right to revert to the appropriate set of regulations.

### 3.3 Further Stages

1. A student will be considered under a further stage of this procedure in the following circumstances:
  - If it has not been possible to put in place further adjustments
  - If the student did not take advantage of the adjustments put in place
  - If the student's health, wellbeing or behaviour worsens or has an adverse effect on the health or wellbeing of the UCL community.
2. The Director of Student Support and Wellbeing will prepare a report giving the reasons why the student should be considered under the Further Stages of the procedure. This report should include a summary of the medical information as well as information on the efforts made to facilitate a student's studies. This report will be sent to the Registrar, who will confirm that the case should be considered by the Fitness to Study Panel.
3. The student will be informed whether or not the case is to be considered by the Fitness to Study Panel.
4. If it is determined that the case will proceed, the student will be required to attend a Fitness to Study Panel and will be given at least 10 working days' notice of the meeting. The student must be provided with any documents to be considered by the Panel. The student can submit additional documentation but this must be received 3 working days before the Panel hearing.
5. Students should seek advice from [Students' Union Rights and Advice Centre](#) on attending a Panel hearing and seek support for preparation of this.
6. The Panel will be chaired by a Faculty Tutor or a Faculty Graduate Tutor from a Faculty other than that of the student and will also comprise a medical adviser appointed by UCL, a Students' Union UCL Sabbatical Officer, and a fourth member who will either be



- a Faculty Tutor or a Faculty Graduate Tutor from a Faculty other than that of the student, or the Director of Student Administration or the Registrar.
7. The Director of Student Support and Wellbeing will present the case to the Panel. The Faculty Tutor from the student's Faculty will also be present to provide information to the Panel as required.
  8. The student may be accompanied by a 'friend' who must be a member of staff at UCL or a student currently registered at UCL, provided that the person chosen is not legally representing the student nor a member of the Panel. If the student wishes to be accompanied by someone who does not meet this requirement, permission should be sought from the Chair of the Panel. The Chair of the Panel has the right to accept or refuse the request.
  9. The Panel can invite others to attend the Panel in order to provide information or to witness the proceedings.
  10. The purpose of the Panel is to:
    - Review the documentation and any oral statements made at the Panel hearing
    - Consider the views of the student
    - Agree the most appropriate way to proceed
    - Ensure that the student is aware of UCL's concerns and the impact of the student's situation either on their own health, wellbeing and behaviours or those of other members of the UCL community
    - Recommend a decision.
  11. The student, the student's friend, the Director of Student Support and Wellbeing, and the student's Faculty Tutor can be present while the Panel receives the evidence and hears the case, but they must all withdraw when the Panel deliberates and considers its decision.
  12. Where the student fails to engage with this procedure, by not providing satisfactory documentation or not attending the Panel hearing, the Panel can continue in the student's absence. Any lack of engagement of the student should not be construed against them.
  13. The decisions open to the Panel are as follows:
    - a) That no decision can be made pending further information within a specified period of time, at which point the Panel would have to reconsider its recommended outcome. The Panel can recommend whether the student can remain in registration or not during this time period;
    - b) That the student can continue in registration but additional measures need to be taken or further adjustments sought;
    - c) That the student can continue in registration but the academic requirements can be adjusted;
    - d) That the student must interrupt their studies, or remain on interruption, for a specified period of time, with requirements for the student's return being specified, if required;
    - e) That a recommendation is made that the student must withdraw from UCL, indicating whether reapplication at a future date is allowable or not.
  14. In the case of 13c), d) and e), this should be a recommendation to the Provost.
  15. The student should be informed of the decision in writing within 10 working days of the Panel.

## 3.4 Appeal

1. The student has the right to appeal through the procedures set out in Section 10: Student Complaints Procedure.

# 4 Learning Agreements, Barring, Suspensions and Termination of Study

## 4.1 Learning Agreements

1. Learning agreements are written agreements with a student meant to support students experiencing significant difficulties by agreeing a way to address problems such as, for example, attendance problems, coursework submission problems, communications problems, welfare concerns, problems with administrative requirements, etc.
2. Learning Agreements can be agreed by Departmental Tutors, Departmental Graduate Tutors<sup>1</sup>, Faculty Tutors, Faculty Graduate Tutors and the Vice-Provost (Education & Student Affairs).
3. Special arrangements for a student and/or measures subject to approval can be made conditional on concluding and abiding by the conditions of a learning agreement.
4. The learning agreement will set out what UCL will do to support the student as well as the conditions which the student agrees to meet. These conditions will usually cover some or all of, but are not limited to, the following:
  - Attendance at teaching and learning events. A higher attendance requirement than the normal minimum attendance requirement can be specified for the remainder of the term or academic year.
  - Completion and timely submission of coursework and other forms of work, both summative and/or formative, assessed and/or unassessed.
  - Responding appropriately and in a timely manner to UCL communications and attending meetings with UCL staff as requested.
  - Completion of additional work to ensure sufficient coverage of the syllabus.
  - Providing requested information within a specified time period.
  - Supplying proof of continuing medical or specialist treatment.
5. Breach of a learning agreement will result in the revocation of any special arrangements made and/or measures approved and in the application of any penalties specified in the learning agreement.
6. Learning agreements should specify the duration of the agreement and when compliance with the agreement will be reviewed. Compliance should be reviewed at least once a year.

## 4.2 Barring Students from Assessment

1. Departments must ensure that all students taking a module, including students from other departments, are informed of the policy on barring and of the applicable definitions of what will constitute unsatisfactory attendance and engagement. Students must be informed from the outset and in writing.
2. Barring requires a written record of attendance. Wherever it is practicable for them to do so, departments must have adequate mechanisms in place for:
  - Regularly recording attendance at teaching events such as seminars, classes, laboratory classes, tutorials, etc.
  - Recording the submission of required coursework.
  - The reporting of significant deficiencies to the designated departmental officer with overall responsibility for the barring process.
3. UCL's minimum attendance requirement is 70% (see [Chapter 3, Section 3: Attendance and Absence](#)). Departments may stipulate a higher percentage and

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<sup>1</sup>In Faculties organised on a divisional or other basis, rather than on a departmental basis, this applies to the equivalent officers.

- additional requirements where appropriate. Students whose attendance falls below the attendance requirement are ineligible for summative assessment.
4. If a student's attendance falls below the attendance requirement so that a bar needs to be imposed, the teaching department must notify the student's home Department.
    - a) Where practicable, the home department should review the student's overall record to establish whether the problem extends beyond the teaching Department.
    - b) If the problem is limited to the teaching department, the teaching Department should impose the bar and issue the subsequent learning agreement.
    - c) If the problem extends beyond the teaching department, the home department should take over the barring and subsequent coordinated learning agreement, covering all affected modules.
    - d) However, teaching departments have the right to impose bars and issue learning agreements for their modules: information provided by the home Department must be taken into account, but bars do not require permission from the home department.
  5. The barring Department must notify the student in writing that he or she is barred from summative assessment for the module (copying the student's home Department and Faculty Tutor as well as [UCL Student Records](#)) and must summon the student for a departmental interview to allow for an explanation of the case.
  6. Since the bar may still be lifted, such students should continue to attend the module and submit coursework. However, marks for any summative assessment tasks will only count and be considered by the examination board if the bar is subsequently lifted.
  7. The barring department MUST give such students a written learning agreement setting out the conditions under which the bar will be lifted. Students cannot be barred from summative assessment without the opportunity to conclude a learning agreement and having the bar lifted if they fulfil the conditions set out in the agreement. Copies of all learning agreements should be sent to the student's Faculty.
    - a) Usually learning agreements will specify attendance conditions, among others, for lifting the bar. If the student can no longer meet or exceed the minimum attendance requirement for the module by the end of the module, a higher attendance requirement of up to 100% will usually be specified for the remainder of the module.
    - b) Bars should be notified and learning agreements issued as soon as possible, but learning agreements can still be issued after the end of term. Late learning agreements towards or after the end of term, when there are no teaching events left to attend, can rely on conditions other than attendance, such as additional work required to ensure coverage of the syllabus.
    - c) If the student does not accept the learning agreement within five working days of it being issued, the bar stands, subject to the appeals procedure set out below.
    - d) If the student accepts the learning agreement and subsequently fulfils the conditions set out in the learning agreement, the bar will be lifted.
    - e) If the student breaks the conditions of a signed learning agreement, the bar will remain in place, subject to the appeals procedure set out below.
    - f) Barring-related learning agreements must specify their end points, and Departments must review compliance with the learning agreement and notify the student of the outcome in writing within ten working days (excluding the UCL Christmas and Easter closure periods) after the expiration of the learning agreement, copying the home department, the student's Faculty Tutor, and [UCL Student Records](#).
  8. If a bar that prevents progression or award of the degree remains in place following a refusal to accept the learning agreement or following a breach of the conditions of the learning agreement, the bar must be reviewed and confirmed (or lifted) by the student's the Faculty Tutor.

9. Barring forfeits an attempt at assessment. If the student has a second attempt remaining, he or she must repeat the module in attendance the following year. Normal progression and substitution rules apply.
10. Affected students have a right of appeal against the imposition of a bar, against the conditions of the offered learning agreement, against the continuation of a bar after the compliance review, or against the Faculty Tutor's confirmation of a bar.
  - a) Appeals against departmental decisions must be submitted to the Faculty Tutor within five working days of the relevant notification.
  - b) Appeals against a Faculty Tutor's confirmation of a bar preventing progression or graduation must be submitted within five working days of the relevant notification and will be dealt with by [UCL Academic Services](#) on behalf of the Vice-Provost (Education & Student Affairs).
  - c) If a student remains dissatisfied with the outcome of the appeal, he or she may then go through the procedures set out in [Section 10: Student Complaints Procedures](#) but must accept that a final outcome is unlikely to be reached before the student would have been due to take the assessment in question.

### 4.3 Suspensions of Studies on Grounds of Academic Insufficiency

1. Faculty Tutors/Graduate Faculty Tutors can suspend the studies of students in their Faculty on grounds of academic insufficiency as per paragraphs 13.1 and 13.2 of [UCL's Regulations for Management](#).
2. Academic insufficiency occurs when a student's overall attendance and performance, rather than that in a particular module, is deemed to be unsatisfactory, so that it is not viable for the student to continue with his or her studies for the remainder of the session.
3. All such cases must be referred to the Faculty Tutor/Faculty Graduate Tutor. If the Faculty Tutor confirms academic insufficiency, the expected outcome is that the Faculty Tutor suspends the student's enrolment for up to one year, specifying at the beginning of which term the student will be allowed to return to repeat.
4. Students must have had due warning prior to a suspension of studies.
5. Prior to a suspension on grounds of academic insufficiency, the Faculty Tutor must have summoned the student to a Faculty interview to allow for an explanation of the case.
6. To suspend a student on grounds of academic insufficiency, the Faculty Tutor must send a letter of notification to the student that includes details of the appeals mechanism, copying the home Department, all teaching Departments and [UCL Student Records](#).
7. Suspensions of studies forfeit an attempt at assessment for all affected modules. A suspended student must repeat either the year or the term(s) in which the insufficiency occurred in the next academic year, repeating in attendance all modules for which the student has second attempts remaining. (Additional interruptions can be applied for, but are subject to scrutiny and approval.) If a suspension would permanently prevent progression or award of degree due to one or several forfeited second attempts at assessment, suspensions become terminations of study, unless [UCL Academic Services](#) on behalf of the Vice-Provost (Education & Student Affairs) suspends regulations to allow further attempts.
8. As a condition of returning to repeat after the suspension, the student must sign a learning agreement. Refusal to sign the learning agreement or breach of the learning agreement following an earlier suspension will usually result in termination of studies.
9. Suspended students have a right of appeal:
  - a) Appeals against a suspension on grounds of academic insufficiency must be submitted within five working days of the relevant notification and will be dealt with by [UCL Academic Services](#) on behalf of the Vice-Provost (Education & Student Affairs).

- b) Should a student be dissatisfied with the outcome of the appeal, he or she may then go through the procedures set out in [Section 12: Student Complaints Procedure](#).
10. In cases involving poor performance in Postgraduate Research Students, separate guidance applies (see Research Degrees: Guidance on Addressing Poor Performance in Research Students).

## 4.4 Termination of Study

1. Faculty Tutors/Graduate Faculty Tutors can also terminate the studies of students on grounds of academic insufficiency as per paragraphs 13.1 and 13.2 of [UCL's Regulations for Management](#).
2. In such cases the academic insufficiency must be deemed to be irretrievable.
3. For any student whose studies are to be terminated in this way, it is essential that he or she has previously been referred to the Faculty Tutor/Faculty Graduate Tutor for a formal interview and received a written warning that their studies are at risk of being terminated should the insufficiency continue.
4. Should the insufficiency continue or should any conditions that were made for the continuation of the student's studies at the interview and/or in the written termination warning not have been met, the Faculty must interview the student again.
5. If the termination of studies is confirmed, the Faculty must issue a formal written notification of the termination of studies and the reasons for it, including a reference to the appeals procedure.
6. Students have a right of appeal:
  - a) Appeals against a termination of studies on grounds of irretrievable academic insufficiency must be submitted within fifteen working days of the relevant notification and will be dealt with by [UCL Academic Services](#) on behalf of the Vice-Provost (Education & Student Affairs).
  - b) Should a student be dissatisfied with the outcome of the appeal, he or she may then go through the procedures set out in [Section 10: Student Complaints Procedure](#).

## 4.5 Mandatory Faculty Interviews

1. Faculty Tutors and Faculty Graduate Tutors can summon students in their Faculty to mandatory Faculty interviews, requiring the student either to attend the interview at a set date and time or to make and keep an appointment by a set deadline.
2. If a student fails to do so, he or she will be written to by the Faculty Tutor or Faculty Graduate Tutor with a suspension warning, informing the student that failure to make and/or attend an alternative appointment by a set deadline will result in a suspension of studies.
3. If a student fails to make or attend the alternative appointment, the Faculty must send the student a formal letter confirming the suspension of studies and issuing a termination warning. The student must be informed that failure to make and/or attend a final appointment by a set deadline will result in a permanent termination of studies.
4. If a student fails to make or attend the final appointment, the Faculty must send the student a formal letter confirming the termination of studies and informing the student of the right to appeal.
5. Students have a right of appeal against a suspension or termination of studies for non-attendance at mandatory Faculty interviews:
  - a) Appeals must be submitted within five working days of the relevant notification and will be dealt with by [UCL Academic Services](#) on behalf of the Vice-Provost (Education & Student Affairs).
  - b) Should a student be dissatisfied with the outcome of the appeal, he or she may then go through the procedures set out in [Section 10: Student Complaints Procedure](#).

# 5 Procedure for Student Fee Debts

It is a condition of the Student Relationship agreement with UCL that all fees are paid on time, and students are expected to arrange prompt payment to meet the required deadlines. Once an outstanding balance falls overdue, the student is deemed to be a debtor and UCL will undertake the appropriate measures for collection, as set out in the procedures below.

Overdue balances that result in debtor status will include, without limitation: tuition fees, accommodation charges, charges for childcare services, library charges, examination and submission fees, student loans and other fines and penalties.

It should be noted that students are individually responsible for the settlement of all charges, including those invoiced to a sponsor, and that the procedures outlined in this guidance will apply equally to all such amounts.

## **Tuition Fee Debts**

Students with a tuition fee debt to UCL will receive a series of e-mail reminders, via their UCL account, informing them of overdue balances and warning of possible future sanctions. Continued non-payment will lead to the withholding of access to selected services and facilities (library, computer access, building access) and may ultimately result in a suspension of registration. Debtor status relating to outstanding tuition fees will also affect a student's ability to re-enrol, graduate or receive any official UCL documentation. Once the balance of overdue tuition fees has been settled in full, a request is made for the sanctions to be lifted.

Students (current and former) are expected to monitor their Portico accounts for details of any tuition fee debts that might arise and to contact the Student Fees office with any queries, concerns or issues at the earliest opportunity.

## **Non-Tuition Fee Debts**

For the avoidance of doubt non-tuition fees include, without limitation: accommodation charges, charges for childcare services, library charges, examination and submission fees, student loans and other fines and penalties.

Academic sanctions (specifically those referred to in the section above) are not applied to non-tuition fee debts.

For such debts, students are expected to liaise with the relevant UCL department to resolve outstanding issues and may be subject to other proportionate sanctions applied at a local level.

## **Further Procedures for the Collection of Debt**

Ultimately, UCL reserves the right to engage a third party debt collection agency to facilitate recovery of any overdue balances and to pursue a legal claim where it is deemed appropriate.

## 6 Material Irregularity Procedure

1. A Material Irregularity is an administrative or procedural error which has a significant, negative impact on a student's performance at summative assessment. A Material Irregularity may affect one student or a group of students. It does not include disagreement with an academic judgement about the quality of student work submitted for assessment.
2. Where a student has a concern about a Material Irregularity, they *must* follow the procedure set out in [Section 10: Student Complaints Procedure](#).
3. Where a UCL member of staff identifies a potential irregularity in the assessment process, it *must* be investigated to establish whether the circumstances are material, which students have been affected and how UCL will address the irregularity.
4. Where Industrial Action affects assessment, progression, and award, guidance for staff can be found within [Annex 6.3: Managing the Impact of the Industrial Action on Assessment](#).
5. Where the investigation concludes that a material irregularity has occurred, the Faculty Board of Examiners is responsible for determining an appropriate course of action in consultation with [UCL Academic Services](#). This can be done by Chair's Action if necessary.
6. The options open to the Faculty Board of Examiners include:
  - a) Where possible, rectifying or mitigating the irregularity before the assessment takes place, or
  - b) Offering a coursework extension, OR
  - c) Condoning the late submission of coursework, OR
  - d) Adjusting an existing exam paper or assessment (the External Examiner must be informed), OR
  - e) Offering an alternative method of assessment (approved by the External Examiner), OR
  - f) Offering the student another opportunity to take the assessment as if for the first time and without penalty (Deferral), OR
  - g) Exclusion of the affected component/ module from Completion, Progression, Award or Classification decisions, OR
  - h) A combination of the above mitigations.
  - i) Making a recommendation to the Director of [UCL Academic Services](#) on behalf of the Vice-Provost (Education & Student Affairs) for a Suspension of Regulations.
  - j) Where the Programme Board of Examiners has already made a decision on Progression or Award, recommending to the Director of [UCL Academic Services](#) on behalf of the Vice-Provost (Education & Student Affairs) that the decision is overturned and a new decision is put in its place, in consultation with the relevant External Examiner.
7. In no circumstances should a student be awarded additional marks to compensate for the irregularity.
8. All cases *must* be clearly recorded in the Faculty Board of Examiners minutes and any changes to student results recorded on Portico.



# 7 Suspension of Regulations Procedure

1. In exceptional circumstances it *may* be necessary to suspend the regulations temporarily for one or more students. Requests for suspensions *must* be made on a case-by-case basis via Student & Registry Services.
  - a) Suspensions of the Admissions regulations must be formally approved by the Director of Access and Admissions on behalf of the Vice Provost (Education & Student Affairs). Requests should be submitted to [Admissions in Student & Registry Services](#)
  - b) Suspensions of the Taught Programme regulations must be formally approved by the Director of UCL Academic Services on behalf of the Vice Provost (Education & Student Affairs). Requests should be submitted to [academic.services@ucl.ac.uk](mailto:academic.services@ucl.ac.uk)
  - c) Suspensions of the Postgraduate Research Degree regulations must be formally approved by the Pro-Vice Provost (Doctoral School). Requests should be submitted to [researchdegrees@ucl.ac.uk](mailto:researchdegrees@ucl.ac.uk)
2. Suspensions of regulations are reported to the next meeting of Education Committee or Research Degrees Committee as appropriate, and an annual analysis conducted to identify common issues that should be incorporated into the main regulations.



# 8 Disciplinary Code and Procedure in Respect of Students

Contact: Casework Team, Student and Registry Services ([casework@ucl.ac.uk](mailto:casework@ucl.ac.uk))

UCL is a community and as members of this community students are expected to adhere to UCL's rules and regulations, to show respect for persons and property, and to behave in a way that does not interfere with the normal operations of UCL. Where there is reason to believe that rules and regulations have been broken, and/or when the behaviour of a student falls below the expected standards, as outlined below, the Disciplinary Code and Procedure will be instigated.

## Section 1: Disciplinary Code

1. UCL Statute 13 (Jurisdiction over Students) provides as follows:
  - (1) The Council shall be responsible for maintaining good order within the College and its precincts and other buildings and premises owned or occupied by the College and shall have disciplinary powers over the conduct of Students of the College which the Council considers to affect the interests of the College, its Staff or Students.
  - (2) The Council, on the advice of the Academic Board, and after consulting the Students' Union, shall approve a Disciplinary Code and Disciplinary Procedure and determine procedures, including a student complaints and appeals procedure, which shall be published and made available to all Students of the College. The Procedure shall provide for the arrangements governing the hearing of a case of disciplinary action against a Student and of an appeal to the Discipline Review Body prescribed in (3).
  - (3) There shall be a Discipline Review Body to which an appeal shall lie in cases where the punishment imposed by the College is expulsion from the College and its precincts and other buildings and premises owned or occupied by the College, or temporary exclusion for more than four weeks.
2. The Provost has the following disciplinary powers under UCL Statute 11:
  - (3) The Provost shall have power, in accordance with Regulations made by the Council on the advice of the Academic Board, to suspend a Student from any or all of his or her studies in the College and to exclude a Student from the College and its precincts and other buildings and premises owned or occupied by the College. In the case of suspension or exclusion for reasons other than academic insufficiency the Provost shall report such suspension or exclusion to the Academic Board and to the Council and shall ensure that appropriate action is taken forthwith under disciplinary or other appropriate procedure.
  - (4) The Provost shall have power to delegate any or all of the powers conferred by [paragraph (3)] of this Statute (as above) to such Officer of the College or persons or bodies as he/she may think fit.

## **Delegation by the Provost**

3. In accordance with Statute 11(4), the Provost has delegated her/his powers under Statute 11(3) to the Registrar.

## **Section 2: Jurisdiction and General Principles**

### **(a) Jurisdiction**

4. The Disciplinary Code applies to all registered students of UCL.
5. The jurisdiction of this Code will extend, where appropriate, beyond UCL's precincts and will cover, for example, the conduct of students attending another institution or a work placement in the United Kingdom or abroad, or taking part in approved field trips or other authorised external activities.

### **(b) Relationship and interface with other UCL policies and procedures**

6. This Code relates to matters of non-academic misconduct and any action taken under this Code automatically supersedes any disciplinary action being taken under other rules or regulations of UCL.
7. Where the alleged misconduct relates to an academic matter, it should be referred for action in accordance with UCL's Academic Regulations.
8. Where the alleged misconduct relates to research misconduct, it should be referred for action in accordance with UCL's Research Misconduct Procedure.
9. Where the alleged misconduct relates to harassment, bullying and/or intimidation then it should be referred for action under UCL's policy on Harassment and Bullying (Students).
10. Students registered on programmes leading to membership of a professional body should demonstrate appropriate behaviour and standards required for entry into that profession. Alleged misconduct which may be judged to fall short of the professional codes of conduct will be considered under the relevant Fitness to Practise Procedure.
11. Where there is a concern that mental health, illness or disability may have directly affected behaviour and/or conduct, the Director of Student Support and Wellbeing will be consulted as to whether it would be more appropriate to consider the matter under the Support to Study Policy or the Student Mental Health Policy as an alternative to disciplinary action.
12. Where it is not clear how the alleged misconduct should be classified the matter will be determined by the Registrar.

### **(c) General Principles**

13. Students involved in disciplinary procedures shall have the right to be accompanied to any meeting or hearing by a 'friend', who must be a UCL student or member of staff of UCL or [Students' Union UCL](#). The role of the friend is to provide moral support during a meeting or hearing. They cannot make representations nor cross-examine witnesses and must also not be a witness.
14. UCL will wherever possible seek to adhere to the time limits outlined in this procedure; however, in cases where there are special circumstances which require variance from specified time limits, students will be advised of the reasons for this by the Officer handling the investigation or hearing.
15. Students will be given the opportunity to attend disciplinary hearings in person. UCL reserves the right, however, to proceed with any investigation or disciplinary hearing in the absence of a student, subject to the student having been properly notified of the date and time of the hearing, or in cases where criminal proceedings do not allow the student to attend in person.
16. UCL reserves the right not to proceed with any investigation following an allegation against the behaviour of a student if it is considered that there are insufficient grounds or evidence to do so.
17. During the application of this Disciplinary Code and Procedure, UCL reserves the right to adjourn any disciplinary investigation or hearing and reconvene at a later date.
18. The standard of proof to be adopted during the application of this Disciplinary Code and Procedure will be the balance of probability.
19. Where misconduct has occurred, and wherever appropriate, the intention will be to provide a corrective response in addition to any reasonable and proportionate punitive response.

### **(d) Officers responsible for disciplinary matters**

20. The Registrar of UCL has the responsibility for dealing with disciplinary matters referred to her/him under the authority and with the powers granted to her/him in this procedure. Authority to refer a matter to the Discipline Committee rests with the Registrar. The Registrar may delegate this responsibility to the appropriate members of Student and Registry Services and all references to the Registrar in this Code and Procedure should be understood to include also such nominees.
21. The Registrar may also delegate authority for discipline in UCL Houses and Halls of Residence to Wardens of UCL Houses and Halls of Residence.
22. The Registrar may also delegate authority for discipline in UCL Libraries to the Director of UCL's Library Service or her/his nominee.

## Section 3: Definition of Misconduct<sup>1</sup>

23. Misconduct which may be the subject of disciplinary procedures under this Code is defined as improper interference with the proper functioning or activities of UCL, or of those who work or study in UCL, or action which otherwise damages UCL and/or its staff or students, including, but not limited to, the following:
- (1) disruption or improper interference, whether on UCL premises or elsewhere, with the academic, administrative, sporting, social, cultural or other activities of UCL;
  - (2) obstruction or improper interference on UCL premises or whilst engaged in any UCL activity with the functions, duties or activities of any student, member of staff or other employee of UCL or any authorised visitor of UCL;
  - (3) violent, indecent, disorderly, threatening or offensive behaviour or language on UCL premises or whilst engaged in any UCL activity;
  - (4) fraud, deceit, deception or dishonesty in relation to UCL or its staff or students;
  - (5) action likely to cause injury to, or impair the safety of, either themselves or others on UCL premises or whilst engaged in any UCL activity;
  - (6) sexual, racial or other kind of harassment of any student, member of staff or other employee of UCL or any authorised visitor to UCL;
  - (7) breach of the provisions of UCL's Code of Practice on Freedom of Speech or of any other code or UCL rule or regulation which provides for breaches to constitute misconduct under this code;
  - (8) damage to or defacement, caused intentionally or recklessly, or misappropriation of UCL property<sup>2</sup> or the property of other members of UCL and/or the UCL community, or any other property<sup>3</sup> into which the Student enters, or misappropriation of such property whilst engaged in UCL activities;
  - (9) misuse or unauthorised use of UCL premises or items of property, including computer misuse;
  - (10) distributing or publishing a poster, notice, sign or any publication which is offensive, intimidating, threatening, indecent or illegal, including the broadcasting and electronic distribution of such material;
  - (11) conduct which constitutes a criminal offence where that conduct took place on UCL premises or
    - (a) affected or concerned other members of the UCL community or
    - (b) damages the good name of UCL or
    - (c) itself constitutes misconduct within the terms of this Code or
    - (d) is an offence of dishonesty, where the Student holds an office of responsibility in UCL, or
    - (e) involves a student registered on a programme leading to membership of a

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<sup>2</sup> Examples of 'minor' or 'major' classifications of misconduct can be found at paragraphs 25 and 26 of this Procedure.

<sup>3</sup> Within this document property is defined as, but not limited to: computers; software; data; web pages; equipment (e.g. audio-visual equipment; laboratory equipment; instruments; tools); books; furniture; and personal belongings of individuals

- professional body and where that conduct may fall short of the professional codes of conduct such as to render the Student unfit to practise, or
- (f) resulted in the acquisition of a criminal conviction for an offence not involving members of UCL or its premises, which may affect the safety of a member of UCL or the premises of UCL or which could bring UCL into disrepute;
- (12) failure to declare a criminal conviction to UCL, subject to the Rehabilitation of Offenders Act;
- (13) behaviour which brings UCL into disrepute;
- (14) failure to disclose name and other relevant details to an officer or employee of UCL in circumstances where it is reasonable to require that such information be given;
- (15) failure to comply with a previously imposed penalty under this Code.
24. For the purpose of this Procedure, misconduct as defined at paragraph 23 above will be classified as either minor or major depending on the seriousness of the alleged misconduct. Where it is not clear whether the alleged offence should be classified as a minor or major offence the matter will be determined by the Registrar.
25. Examples of minor offences include but are not limited to:
- Anti-social behaviour
  - Refusal to identify yourself to UCL staff or using false ID
  - Failure to vacate during fire alarms
  - Excessive noise
  - Misuse of the fire equipment
  - Smoking in non-designated areas
26. Examples of major offences include but are not limited to:
- Possession of an offensive weapon
  - Assault
  - Threatening, offensive or indecent behaviour or language that causes distress to others
  - Harassment of any kind
  - Misappropriation of or damage to the property of any student or member of staff of UCL
  - Any action likely to cause injury or impair the safety of others
  - Use, possession, buying or selling of illegal drugs
  - Excessive use of alcohol that is likely to endanger the health and safety of others
  - A serious breach of UCL-approved Regulations

## Section 4: Disciplinary Procedure

### (a) Disciplinary offences which are also subject to criminal investigation

27. Where a disciplinary offence is also subject to a criminal investigation, UCL may suspend the disciplinary process until the criminal investigation and legal proceedings have been concluded. The fact that the police or other legal authorities might be unable, unwilling or not yet able to proceed will not automatically preclude UCL from instigating its own disciplinary action.
28. The student should be reminded that whilst criminal investigations are underway they will be obliged to keep UCL informed of any progress and/or change in status regarding their case. The Registrar will review the case on a monthly basis and will determine if any action is required during this review period.
29. When the criminal proceedings have concluded, the Registrar will decide whether UCL should instigate disciplinary action, taking into account the following guidance.
30. Where the student has been convicted of a criminal offence, UCL may seek to take action if there are outstanding matters of concern to UCL that have not been addressed. In this case the conviction in a criminal court shall be taken as conclusive evidence that the alleged offence has occurred, and no further investigation shall be required by UCL.
31. Where a criminal conviction has been made, the focus of UCL disciplinary proceedings may include an assessment of the risk posed to UCL staff or students. It may also include assessment of the material impact caused by reputational damage to UCL, particularly when this impedes or interferes with the normal operations of UCL, or when it affects important relationships between UCL and key individuals, agencies and stakeholders. If disciplinary action is taken, the penalty imposed by the court shall be taken into account when determining any further penalty.
32. In the case of a criminal conviction, where criminal proceedings (including bail conditions, period of time spent on remand, period of time served in custody following conviction) result in a student being absent from their study for a period of less than twelve months it will normally be the case that their studies will be interrupted for this period. In such circumstances it will be the responsibility of the student to notify the Registrar regarding the date of release from custody. The Registrar will then assess whether the nature of the offence committed poses an ongoing risk to the UCL community, and whether there are any outstanding matters of concern that have not been addressed. In the case of either UCL may instigate disciplinary proceedings.
33. In the case of a criminal conviction where criminal proceedings (including bail conditions, period of time spent on remand, period of time served in custody following conviction) result in a student being absent from their study for a period in excess of twelve months, the student will be deemed withdrawn from UCL. The student may then reapply for admission to UCL, and as part of the standard

admissions process will be required to declare criminal convictions to be considered prior to a decision regarding an offer of a place.

34. Where the student has been acquitted UCL will take into account the decision of the court. However, it may be the case that it is reasonable and within UCL's interests to pursue outstanding matters of concern to UCL that have not been addressed.
35. Where, following an initial investigation, a decision has been taken not to proceed to a criminal trial, this does not preclude UCL from conducting further investigations and/or instigating disciplinary proceedings in respect of outstanding matters of concern to UCL that have not been addressed.

**(b) Precautionary action in advance of a disciplinary hearing**

36. Where the nature of the alleged disciplinary offence suggests that there may be risk to the safety of others, or where the student accused of the offence may be at risk of harm, the Registrar will undertake a risk assessment which may result in action as follows:
  - (i) They may require the student to comply with specific conditions, for example agreeing not to contact another student or students. The consequence of any breach of these conditions may result in escalation to the steps outlined below; and/or
  - (ii) The Registrar may choose to exercise the delegated authority granted in accordance with Statute 11(3) and 11(4) to suspend the student from any class or classes and/or to exclude the student from any part or all of UCL's facilities, grounds and premises, until such a time as any criminal proceedings and/or UCL disciplinary proceedings have been concluded. A precautionary suspension and/or exclusion should not be regarded as a penalty and does not indicate that the student is presumed guilty of any offence.
37. For the purposes of this Code and Procedure suspension and exclusion are defined as follows:
  - (i) Suspension involves a total or partial prohibition on attendance at or access to UCL premises and from any participation in UCL activities for a fixed period. The terms of any suspension will be assessed and decided on a case-by-case basis.
  - (ii) Exclusion involves the withdrawal of the right of access to specified land, buildings, facilities or services of UCL for a fixed period or pending the fulfilment of certain conditions.
38. The decision by the Registrar to temporarily suspend and/or exclude the student from all or part of UCL, and the reasons why this action is being taken, may be communicated orally in the first instance. Where this is the case, written confirmation outlining the reasons for this decision and notice of the right of appeal should be provided within two working days.
39. The student may appeal against the decision to suspend and/or exclude them from all or parts of the UCL by submitting a written request stating the reason for the appeal

to the Provost within five working days of the date of issue of the notice of suspension/exclusion.

40. The Provost will consider the appeal and may take action as follows:
  - (i) uphold the original decision and confirm the terms of the suspension and/or exclusion;
  - (ii) uphold the original decision but reduce or restrict the terms of the suspension and/or exclusion;
  - (iii) overturn the original decision and remove the suspension and/or exclusion.
41. In cases where additional information presented as part of the appeal suggests that the level of risk is higher than previously assessed, the Provost may increase or extend the terms of the suspension and/or exclusion.
42. The student will be notified of the decision within ten working days of the receipt of the letter requesting an appeal.
43. Whilst the precautionary suspension and/or exclusion is in place, the student may request a review if there is a relevant change to their circumstances. This request should be made in writing to the Provost, who will respond within ten working days of the receipt of the letter.
44. In accordance with Statute 11(3) all cases of suspension and exclusion for reasons other than academic insufficiency shall be reported by the Registrar to UCL's Academic Board and Council.

## Section 5: Minor Offences

### **(a) Misconduct Involving a UCL House or Hall of Residence**

45. The Registrar may delegate to Wardens of UCL Houses or Halls of Residence power to deal with disciplinary matters within their house/hall of residence and to impose penalties up to and including any one or more of the following:
  - (i) an oral or written reprimand;
  - (ii) an order for service for a specified period to the house or hall of residence to be scheduled outside of teaching time;
  - (iii) an order for payment or compensation for damage to property;
  - (iv) withdrawal of house/hall of residence privileges e.g. no guests allowed, exclusion from bars;
  - (v) a fine of up to £100;
  - (vi) a recommendation to the Registrar that residence in UCL accommodation in future years be denied;
  - (vii) a recommendation to the Registrar that the student's misconduct be referred to the Discipline Committee and/or that UCL takes proceedings through the courts for eviction.
46. In a case where the Registrar decides there are grounds for eviction from a UCL House or Hall of Residence they will request that the Director of Student



Accommodation initiate court proceedings and will inform the student that the matter has been referred to the Director of Student Accommodation. The case may also be referred to the Discipline Committee.

47. In dealing with an allegation of misconduct the Warden will interview the student. The Warden will inform the student that they may appeal to the Registrar against any penalty imposed by the Warden on the following grounds:
  - (i) that the disciplinary process was not conducted in accordance with the above procedures;
  - (ii) that new evidence has become available which was not, and which could not reasonably have been made available at the time the case was considered;
  - (iii) the penalty imposed was disproportionate to the offence.
48. The appeal will be considered by the Registrar by a review of the relevant paperwork and must be submitted within ten working days of the date of notification of the penalty.

### **(b) Misconduct Involving UCL Library Services**

49. The Registrar may delegate to the Director of UCL Library Services (or their nominee) power to deal with disciplinary matters within UCL Library Services and to impose penalties up to and including any one or more of the following:
  - (i) an oral or written reprimand;
  - (ii) an order for service for a specified period to be scheduled outside of teaching time;
  - (iii) an order for payment or compensation for damage to property
  - (iv) withdrawal of borrowing privileges
  - (v) a fine of up to £100;
  - (vi) a recommendation to the Registrar that the Student's misconduct be referred to the
50. Discipline Committee. In dealing with an allegation of misconduct the Director of UCL's Library Services will interview the student. The Director will inform the student that they may appeal to the Registrar against any penalty imposed by the Director on the following grounds:
  - (i) that the disciplinary process was not conducted in accordance with the above procedures;
  - (ii) that new evidence has become available which was not, and which could not reasonably have been made available at the time the case was considered;
  - (iii) the penalty imposed was disproportionate to the offence.
51. The appeal will be considered by the Registrar by a review of the relevant paperwork and must be submitted within ten working days of the date of notification of the penalty.

### **(c) Disciplinary Action taken by the Registrar**

52. Where the alleged offence is referred to the Registrar, the Registrar will decide upon the following course of action:
  - (i) that the complaint be dismissed;
  - (ii) that the complaint should not be the subject of further action under the Disciplinary Code, but such a ruling will not preclude informal action by way of a caution or otherwise if appropriate which may be undertaken without reference to the person submitting the complaint;

- (iii) that the alleged offence be classified as a minor offence and is a matter for the Registrar to deal with;
  - (iv) that the alleged offence be classified as major offence and should be referred to the Discipline Committee.
53. At all times the Registrar will be mindful of any ongoing risk posed to students and staff relating to the alleged offence. In cases where a risk assessment suggests this may be the case, the Registrar may consult the Director of Student Support and Wellbeing (or nominee) in relation to the management of risk, and where appropriate may take precautionary action as outlined in Section 4(b). Amongst other possible actions, it may be necessary to agree a behavioural contract or a limited exclusion from a specific facility or service.
54. Where a complaint of misconduct has been made, and unless it is immediately dismissed, dealt with by way of informal action or referred to the Discipline Committee, the Registrar will hold a meeting with the student(s) concerned. The student(s) should receive an invitation to the meeting and should be advised of the nature of the alleged offence. Where possible this invitation should be written and should give the student(s) at least two working days' notice of the meeting. There may, however, be circumstances where an urgent meeting is required and in this case a verbal invitation with less than two days' notice will be given. Failure to attend without good cause may in itself be considered a disciplinary offence.
55. The student will be given an opportunity at the meeting to explain their behaviour and/or offer information in mitigation or explanation.
56. The Registrar will advise the student in writing of the outcome, within five working days, and will confirm the imposition of any sanction, which may include any one or more of the following:
- (v) an oral reprimand recorded by the Registrar;
  - (vi) a written reprimand recorded by the Registrar;
  - (iii) a written reprimand recorded on the Student's UCL file and copied to the Head of the Student's department;
  - (iv) a payment of compensation for damages to person or property;
  - (v) a fine of up to £300;
  - (vi) an order of service to UCL for a specified period;
  - (vii) require a student to enter into a 'Good Behaviour' agreement;
  - (viii) exclusion from a part or parts of UCL for a specified period provided that such exclusion does not directly interfere with the student's academic work;
  - (ix) imposing conditions on a student's access to UCL facilities where the student has been convicted of a criminal conviction and where such conditions are deemed necessary for the safety and security of members of UCL provided that such conditions do not directly interfere with the student's academic work. In the case where the Registrar decides there are grounds for eviction from a UCL House or hall of Residence s/he will request that the Director of Student Accommodation initiate court proceedings and will inform the student that the matter has been referred to the Director of Student Accommodation.

57. In the event that, after the meeting, the Registrar decides that the matter is too serious to warrant one of the penalties set out above, the Registrar may instead refer the matter to the Discipline Committee.
58. A student wishing to appeal against the decision of the Registrar in relation to a penalty for a disciplinary offence shall write to the Secretary of the Discipline Committee giving the grounds for the appeal within ten working days from the date of receipt of the letter from the Registrar imposing the penalty.
59. An appeal against a sanction or sanctions imposed by the Registrar may be made on one or more of the following grounds:
  - (i) that the disciplinary process was not conducted in accordance with the above procedures;
  - (ii) that new evidence has become available which was not, and which could not reasonably have been made available at the time the case was considered;
  - (iii) the penalty imposed was disproportionate to the offence.
60. The Discipline Committee will consider appeals under these provisions by a review of the relevant paperwork.
61. In determining an appeal against a decision of the Registrar the Discipline Committee may confirm, amend or dismiss the penalty imposed by the Registrar.

## Section 6: Major Offences

62. Where the alleged offence is referred to the Registrar and s/he believes that it should be classified as a major offence in line with the guidance provided above, the Registrar will refer the case to the Secretary of UCL's Discipline Committee.
63. The membership of the Discipline Committee shall comprise the following:
  - (i) a Chair, who will be the Vice-Provost (Education & Student Affairs) (or her/his nominee)
  - (ii) a member of academic staff of UCL selected from a Panel appointed by the Faculties
  - (iii) an officer of UCL Student's Union
64. The secretary of the Committee will be a member of staff of UCL Student and Registry Services.
65. A single recording of the proceedings will be made by the Secretary to the Committee except when the Committee withdraws for private discussion.
66. In cases which involve alleged reputational damage to UCL, the Committee will also include an additional member who is independent from UCL, whose role will be to ensure the Committee adheres to the principles of impartiality in consideration of the alleged offence.

67. The student will be advised in writing of the nature of the alleged offence and the date of the hearing. This written notification will usually be provided not less than ten working days in advance of the hearing. Where the Chair deems there are special circumstances which require a shorter period of notice to be given, the reasons for this will be explained to the student.
68. The Registrar and/or the Student may wish to invite witnesses to appear before the Committee and/or to provide written statements. If this is the case the Registrar and/or the student should notify the Secretary of the Committee at least seven working days before the hearing of the details of any witnesses. Such notification will include any written statements.
69. Statements and other documentation will be circulated to the Committee and the student not less than five working days in advance of the hearing, although later circulation may be allowed at the discretion of the Chair.
70. The procedure of the meeting will be as follows:
- (i) Committee members meet without the student present to consider matters of process.
  - (ii) The student and 'friend' (where accompanied) will join the meeting.
  - (iii) The Registrar will join the meeting and outline the offence.
  - (iv) The student will be asked to make a statement in response to the alleged offence.
  - (v) The Committee may question the student and/or the Registrar.
  - (vi) Witnesses may be called by the Registrar.
  - (vii) Witnesses may be called by the student
  - (viii) In each case the witnesses will be asked to make a statement or confirm the contents of a written statement, and may be questioned by the Committee, the student and/or the Registrar.
  - (ix) Witness will be asked to withdraw.
  - (x) The Committee will hear further statements from the student regarding evidence submitted, witness statements etc.
  - (xi) The Committee will hear further statements and concluding remarks from the Registrar and the student respectively.
  - (xii) The student (and friend), along with the Registrar, will be asked to withdraw to allow the Committee to consider its decision.
71. At the conclusion of the hearing the Committee will determine the matter before it. The Committee may either dismiss the complaint on the ground that no disciplinary offence has been made out or may find on the evidence that a disciplinary offence has been committed. If the Discipline Committee determines that a disciplinary offence has been committed, it will have the power to impose one or more of the following penalties:
- (i) a reprimand to be administered by the Discipline Committee and conveyed to and recorded by the Head of the Student's department;
  - (ii) a fine not exceeding £600;
  - (iii) an order of service to UCL to be determined by the Discipline Committee;

- (iv) exclusion, for such period or periods and subject to such conditions as the Committee shall think fit, from UCL or its precincts or other buildings or premises owned or occupied by UCL;
  - (v) payment of compensation for any damage to person or property which the Committee may find to have been occasioned by or in the course of the disciplinary offence;
  - (vi) requirement that a Student agree to specific conditions, determined by the Committee, to be necessary for their continued progress on their programme of study at UCL;
  - (vii) permanent expulsion from UCL. Expulsion involves depriving a student permanently of her or his membership of UCL.
72. If the Discipline Committee finds that a disciplinary offence has been committed, the penalty to be imposed will be determined by a majority vote. If there is an equality of votes, the Chair shall have a casting vote.
73. The decision of the Committee shall normally be communicated orally by the Chair to the student and the Registrar immediately at the conclusion of the hearing. The decision of the Committee will be communicated in writing to the student within five working days after the date of the hearing.
74. The implementation and consequences of a Discipline Committee hearing for the student will be monitored by the Registrar in consultation with whomever the Registrar considers appropriate.

## Section 7: Discipline Review Body

75. UCL Statute 13(3) provides as follows:
- 'There shall be a Discipline Review Body to which an appeal shall lie in cases where the punishment imposed by the College is expulsion from the College and its precincts and other buildings and premises owned or occupied by the College, or temporary exclusion for more than four weeks.'*
76. Appeals against other penalties imposed by the Discipline Committee may also be made to the Discipline Review Body.
77. An appeal to the Discipline Review Body must be received by the Secretary to the Discipline Review Body within twenty-eight days of the date of notification of the written communication of the decision of the Discipline Committee to the student concerned.
78. An appeal against a sanction or sanctions imposed by the Discipline Committee may be made on one or more of the following grounds:
- (i) that the disciplinary process was not conducted in accordance with the above procedures;
  - (ii) that new evidence has become available which was not, and which could not reasonably have been made available at the time the case was considered;

- (iii) that the penalty imposed was disproportionate to the offence.
79. The membership of the Discipline Review Body will comprise:
- (i) a Chair, who shall be appointed by the Council from among a panel of nominees approved by Council;
  - (ii) one person, not being a member of the UCL Council, UCL staff or a student, to be appointed by the Provost as and when the Discipline Review Body needs to be convened, from among a panel of nominees approved by Council;
  - (iii) an elected student officer of another University, normally from within the University of London, to be appointed by the Provost as and when the Discipline Review Body needs to be convened.
80. The Secretary of the Discipline Review Body will be an appropriate officer nominated by the Director of [UCL Academic Services](#). Such officer shall not have acted as Secretary to the Discipline Committee in the case concerned.
81. Consideration of an appeal by the Discipline Review Body will be by way of a review of the material/evidence considered by the Discipline Committee, along with its findings and subsequent decision and/or penalties and will include the following, to be supplied by the Secretary of the Discipline Committee:
- (i) a note of evidence taken before the Discipline Committee;
  - (ii) any documents submitted to the Discipline Committee as documentary evidence;
  - (iii) a note of the submissions made by or on behalf of each party;
  - (iv) a note of the findings and decision of the Discipline Committee.
82. The Discipline Review Body will normally consider appeals by review of the relevant paperwork, although it may, exceptionally, decide to arrange a hearing of the appeal.

### **Procedure for a meeting of the Discipline Review Body**

83. In the event of a hearing all parties will be notified of the date not less than seven working days before the date of the hearing.
84. The Discipline Review Body will call the student and the chair of the Discipline Committee as witnesses. Other witnesses may also be called by the Discipline Review Body.
85. Copies of all documentation will be circulated to all parties not less than five working days in advance of the hearing, although later circulation may be allowed at the discretion of the Chair.
86. At the start of the hearing the Chair of the Discipline Review Body will invite the student to summarise the grounds for their appeal against the decision of the Discipline Committee.
87. The Chair of the Discipline Review Body will then invite the Chair of the Discipline Committee to state the case for upholding the findings and decisions of the Discipline Committee.

88. In each case any witnesses will be asked to make a statement or confirm the contents of a written statement.
89. After all parties have made their statements the Chair and other members of the Discipline Review Body may ask the student and/or the Chair of the Discipline Committee and any witnesses any such questions as the Chair deems appropriate.
90. Having completed their questioning the Chair of the Discipline Review Body will ask the parties to withdraw.
91. The Discipline Review Body shall reach decisions by a simple majority.
92. The Discipline Review Body, having completed its discussion of the appeal and having reached a decision on the matter, the Chair shall recall the student and the Chair of the Discipline Committee to the meeting.
93. The Chair shall then announce the decision of the Discipline Review Body to the student and Chair of the Discipline Committee.
94. The Chair shall then declare the meeting of the Discipline Review Body closed.

#### **Decision of the Discipline Review Body**

95. The Discipline Review Body may allow the appeal wholly or in part or substitute its own findings and impose one or more of the penalties mentioned in paragraph 71 as the Discipline Review Body thinks appropriate. Otherwise the decision of the Discipline Committee will stand.
96. The Secretary to the Discipline Review Body will notify the student in writing of the outcome of the appeal within ten working days of the decision of the Discipline Review Body. The Secretary to the Discipline Review Body will also issue a Completion of Procedures letter to the student.

# 9 Examination Irregularities & Plagiarism Procedure

## 9.1 Jurisdiction

1. This procedure sets out the arrangements for investigating any conduct which is considered to breach UCL's examination regulations and which is likely to give an unfair advantage to the candidate and/ or affect the security of examinations, whether written, oral, practical or coursework.
2. Any matter raised in the course of an enquiry into a breach of the examination regulations which is considered by Student & Registry Services<sup>1</sup>, the Examinations Irregularities Panel or Departmental/Divisional Panel to fall within the jurisdiction of the Vice-Provost (Education & Student Affairs), shall be referred to the Vice-Provost (Education & Student Affairs) after the investigation into the allegation (including any hearing by the Examination Irregularities Panel).
3. This procedure applies to all students and former students of UCL who have been assessed under regulations for UCL programmes. Suspicions of a breach of the examination regulations involving staff of UCL will be referred to the Director of Human Resources.
4. Students may seek advice from the [Students' Union Rights and Advice Centre](#).

## 9.2 Categories of Breaches of the Examination Regulations

1. For the purpose of this procedure, a breach of the examination regulations will include, but will not necessarily be restricted to:
  - i) The introduction into the examination room of any materials other than those permitted for that examination;
  - ii) The unauthorised removal of an examination script, any part of an examination script or blank examination stationery from the examination room except by a person with designated authority to do so;
  - iii) Any attempt to confer with or gain access to the script of any other candidate during the period of the examination; or to collaborate in or gain access to the assessed coursework of any other candidate, unless authorisation to do so has been given;
  - iv) Any attempt to tamper with examination scripts or coursework after they have been relinquished by candidates;
  - v) Any unauthorised study and/ or unsupervised absence of a candidate from the examination room during the period of an examination<sup>2</sup>;
  - vi) Impersonation or attempted impersonation of a candidate;
  - vii) Other conducts likely to give an unfair advantage to the candidate.
2. **Plagiarism**, which is defined as the presentation of another person's thoughts or words or artefacts or software as though they were a student's own.
3. **Self-Plagiarism**, which is defined as the reproduction or resubmission of a student's own work which has been submitted for summative assessment at UCL or any other institution.
4. **Collusion**, which is defined as collaboration by two or more candidates in the production of assessed coursework unless appropriate authorisation from the Course/Module Organiser (s) to do so has been given.

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<sup>1</sup> Wherever in this section a holder of office is referred to, or where there is an obvious conflict of interest, the words 'or his or her nominee' are to be understood.

<sup>2</sup> Normally candidates will not be allowed back into the examination room after leaving it without permission and/or without supervision. Should they have been found to have re-entered after such an absence they will be in breach of the regulations.



5. **Falsification**, which is defined for the purpose of this procedure as the fraudulent alteration or misrepresentation of data, extenuating circumstances evidence and/ or other information.
6. **Contract Cheating**, which is defined for the purpose of this procedure as having an assessment completed by a third party, and submitting it as though it were a student's own.
7. Arrangements for dealing with allegations of a breach of the examination regulations listed under paragraph 9.2.1 are set out at Section 9.5 of these procedures.
8. Arrangements for dealing with allegations of breaches of the examination regulations involving the categories listed at paragraphs 9.2.2 to 9.2.6 above are set out at Section 14.3 of these procedures.
9. For ease of reference Annex 6.1 Flow Chart of Departmental Actions in Plagiarism / Collusion / Falsification Procedure sets out the steps involved in considering an allegation made under these procedures.

## 9.3 Initiation of Proceedings in Respect of Plagiarism and/or Collusion and/or Falsification

### 9.3.1 Minor Cases

1. The following instances of plagiarism and/ or collusion<sup>3</sup> (but not including use of a fellow student's work without that student's knowledge and consent) and/ or falsification will normally be deemed to be of a minor nature and will be dealt with by the Module Organiser:
  - i) A first offence in the first-year of a programme of two or more years' duration (or the first term of a programme of one year's or less duration) in which no more than one third (approximately) of the work can be demonstrated to have been plagiarised.
2. In such cases the Module Organiser will, at his/her discretion, impose a penalty<sup>4</sup> and report the matter to the Departmental/Divisional Tutor<sup>5</sup> for noting on the student's file, but no further action or report will be made. Such records, will, however, be taken into account in the event of any subsequent allegations of a breach of the examination regulations being made against the student(s) concerned (see paragraph 9.3.3i below).
3. The student has the right of appeal against a decision of the Module Organiser (see paragraph 9.4.3 below).

### 9.3.2 Major Cases

1. Any case of a breach of the examination regulations not covered by paragraph 9.3.1.i above shall be reported as soon as it is detected by the Module Organiser to the Chair of the Programme Board of Examiners<sup>6</sup>. Any such referral must include the following:
  - i. A completed Report of a Breach of the Examination Regulations [hereafter referred to as the 'Report'] (see Annex 6.2).
  - ii. A copy of the coursework involved.
  - iii. A copy of the text(s) or part of the text(s) believed to have been plagiarised from with, if possible, the relevant passages highlighted.
2. The Module Organiser shall at the same time inform the student concerned that the matter is being reported to the Chair(s) of the Board(s) of Examiners.

<sup>3</sup> Where collusion between two or more students is established, all students concerned will be penalised.

<sup>4</sup> The penalties open to the Module Organiser are restricted to one or more of the following: an informal reprimand, a reduced or zero mark or a requirement for the student(s) to resubmit the assessment in question.

<sup>5</sup> For taught graduate students the Departmental Graduate Tutor fulfils the Departmental Tutor's role.

<sup>6</sup> Wherever in this document a holder of office is referred to, or where there is an obvious conflict of interest, the words 'or his or her nominee' are to be understood.

### 9.3.3 Decision on Referral to the Departmental/Divisional Panel or the Registrar, Student & Registry Services

1. In considering each referral, the Chair of the Programme Board of Examiners must decide whether the allegation(s) concern(s) prima facie evidence of:
  - i. A second or repeat offences occurring at separate examination periods or;
  - ii. An attempt to gain access to or use of the assessed coursework of another candidate without that candidate's knowledge or;
  - iii. An offence which, if proven, may result in the suspension or termination of a student's registration.

In such instances, the Chair of the Programme Board of Examiners will automatically refer the matter to the Registrar, Student & Registry Services, for subsequent consideration by UCL's Examination Irregularities Panel (see [Section 9.5](#) of these procedures).

2. For other instances of a breach of the examination regulations (as defined in [paragraphs 9.2.2 to 9.2.6](#)) and normally comprising no more than a single allegation involving an assessment totalling no more than one module) where the Chair of the Programme Board of Examiners deems on the evidence presented to him/her that prima facie evidence of a breach of the examination regulations has been provided, he/she shall arrange for the establishment of a Departmental/Divisional Panel to consider the case in accordance with the following procedure.

### 9.3.4 Establishment and Proceedings of a Departmental / Divisional Panel (DP)

1. The Chair of the Programme Board of Examiners shall forward to the student(s) against whom the allegation is made a copy of Part I of the completed Report along with a copy of these regulations and copies of all documentary evidence relating to the allegation (as listed in the Report), normally within ten working days of receipt of the report from the Module Organiser.
2. The Report shall be accompanied by a letter inviting the student(s) to respond in writing to the allegation(s). At the same time, the student(s) will be invited to attend the DP and may choose to be accompanied by a 'friend' who must be a member of staff at UCL or a student currently registered at UCL. That person cannot be a member of the Departmental/Divisional Panel.
3. The sole purpose of the DP will be to investigate the grounds on which the allegation has been made and to determine, where appropriate, the penalty to be imposed.
4. The DP will normally comprise the Chair of the Programme Board of Examiners (acting as Chair) and at least two other members of staff from the Department/Division not directly involved in the teaching of the module(s) in question. It is recommended that, where practicable, the Faculty Tutor should also be invited to attend in the capacity of an observer. A Secretary will be appointed normally from the Department/Division concerned. A formal written record of the DP shall be made (see part III of [Annex 6.2 Report of a Breach of the Examination Regulations Form](#)).
5. The quorum for the DP shall be three including the Chair. In those instances where the module concerned involves a Department/Division other than the student's home Department/Division, the Chair of the DP will inform the Chair of the Programme Board of Examiners of the student's 'home' Department/Division that a DP will be held and invite him/her to be a member of the Panel. If the Panel finds that a breach of the examination regulations has occurred, the Panel shall take the following into consideration when arriving at a suitable penalty:
  - i. A formal written record of the DP shall be made (see part III of [Annex 6.2 Report of a Breach of the Examination Regulations Form](#)) detailing the seriousness of the offence;

- ii. At the conclusion of the DP hearing the Panel shall determine in private whether a breach of the examination regulations has occurred and shall consider what action to take in respect of the student or students involved.
6. If the Panel finds that a breach of the examination regulations has occurred, the Panel shall take the following into consideration when arriving at a suitable penalty:
- i. The student's year of study and any particular circumstances;
  - ii. The seriousness of the offence;
  - iii. The relation of the assessment in question to the structure of the degree/diploma/certificate for which the student is registered;
  - iv. The effect in regard to the student's academic progression/Scheme of Award that the nullification of the assessment would have (e.g. whether it is a compulsory assessment, or could be discounted when the award of the qualification is made);
  - v. The effect in regard to the student's academic progression/Scheme of Award that a simple failure of the assessment in question would have on a student in normal circumstances<sup>7</sup>;
  - vi. The arrangements for Resitting/retaking the assessment in question.

## 9.4 Departmental / Divisional Panels (DP)

### 9.4.1 Penalties Open to a Departmental/ Divisional Panel

1. The Departmental/Divisional Panel may decide on one or more of the following actions in respect of instances of a breach of the examination regulations:
  - i) That no breach of the examination regulations has been committed and no further action be taken (save as set out at paragraph 9.4.1.iii below);
  - ii) That no further action be taken;
  - iii) That the student concerned be informally reprimanded and reminded of the need strictly to observe the provisions of the regulations (Such an informal reprimand will be given by the student's Faculty Tutor but will not be entered on the student's record);
  - iv) That the student concerned be formally reprimanded and reminded of the need strictly to observe the provisions of the regulations. The Faculty Tutor shall inform the Registrar, Student & Registry Services, as soon as is practicable after the meeting of the Panel that such a formal reprimand has been given to the student concerned (Such a formal reprimand shall be entered on the student's departmental/divisional and UCL record, as shall all other actions taken except paragraphs 9.4.1.i, ii and iii above);
  - v) That a reduced mark be given for the performance of the student in the assessment in question;
  - vi) In such cases the student may, at the discretion of the Panel, be required to re-enter the assessment, or, if the assessment in question contains more than one element, all prescribed elements of the assessment(s)";
  - vii) That the maximum mark that the student be awarded on re-entering the assessment in question be no more than the minimum pass mark for that assessment [N.B. the decision of a Departmental/Divisional Panel that a breach of the examination regulations has occurred need not preclude the student in question from submitting subsequent coursework for assessment for the same course, where applicable];

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<sup>7</sup> This information should already be provided at Part II of the Report and is confidential to the Departmental/Divisional Panel only. It is expected that any penalty imposed on a student found guilty of a breach of the examination regulations under this procedure should have a greater effect in regard to the student's academic Progression/Scheme of Award than if the student had simply failed the course(s)/module(s) in question.

- viii) That in the light of the evidence presented at the DP no decision be made and the matter be referred to the Registrar, Student & Registry Services, (see paragraphs 9.3.3.i and 9.5).

#### 9.4.2 Findings of a Departmental/ Divisional Panel

1. Findings and the decision of the Panel shall be set out at Part IV of the Report and forwarded to the student, together with these regulations, indicating the mechanisms for appeal.
2. The findings and decision shall not be published other than to the student until after the end of the period within which an appeal may be lodged (see paragraph 9.4.3), following which the matter will be formally reported to the next full meeting of the Programme Board of Examiners of the student's home Department/Division. A complete copy of the Report (i.e. Parts I–IV) shall also be forwarded to the Registrar, Student & Registry Services, and the relevant Faculty Tutor. The accompanying documentary evidence need not be submitted at this time.
3. Should the Panel's decision be that no irregularity has been committed, that decision shall also be communicated to any other persons concerned in the case whether as witnesses or otherwise.

#### 9.4.3 Notice of Intention to Appeal

1. If the student does not accept the decision of the /Module Organiser or Departmental/Divisional Panel, he/she may request that the matter be referred to UCL's Examination Irregularities Panel for review in accordance with the procedure as set out at paragraph 9.5.2. The deadline for receipt of such a request will be ten working days from the date of formal notification of the Module Organiser's or Departmental/Divisional Panel's decision. In such cases referral to the Examinations Irregularities Panel shall be considered as an appeal and the decision of the Examination Irregularities Panel shall be final. Further recourse to the Appeal procedure as outlined at paragraph 9.5.5 will not normally be permitted.

### 9.5 Examination Irregularities Panel

#### 9.5.1 Proceedings of the Examination Irregularities Panel

1. All allegations of a breach of the examination regulations categorised under paragraphs 9.2.1 or 9.3.3.i shall be reported in the first instance to the Registrar, Student & Registry Services (normally either by the Chair of the Programme Board of Examiners or the Examination Supervisor as appropriate) as soon as possible after the matter has been detected.
2. Documentation to be provided to the Registrar, Student & Registry Services should include:
  - i) The examination script(s) or other work implicated in the suspicion of examination irregularity, and the question paper in the case of written examinations<sup>8</sup>;
  - ii) Where applicable, the report(s) of the supervisor(s) of the written examination(s) concerned;
  - iii) Any notes, or other items which may have conferred an unfair advantage, found in the possession of a student while in or around the examination room;

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<sup>8</sup> Copies of the relevant documents may be passed to the Chair of the Programme Board of Examiners concerned. Where the examination script is implicated in the suspicion of examination irregularity, the Chair of the Programme Board of Examiners will be invited to award a mark for the script prior to the meeting of the Examination Irregularities Panel.

- iv) Any record of any interview held with the student(s) concerned by the Head or other member(s) of the Department/Division involved<sup>9</sup>.
3. Where the Registrar, Student & Registry Services, deems on the evidence presented to him/her that the allegation of a breach of the examination regulations is of a minor or technical nature, he/she, after consultation with the Vice-Provost (Education & Student Affairs), and, where relevant, the Chair(s) of the Programme Board(s) of Examiners concerned, may decide either that the matter may be dealt with by the Programme Board(s) of Examiners concerned in whatever way is considered appropriate or that no further action shall be taken, or that an informal reprimand will be issued. The matter shall then be regarded as closed. Alternatively, a formal reprimand can be issued with the option for the student to go before an Examinations Irregularity Panel.
  4. Where the Registrar, Student & Registry Services, deems that prima facie evidence of a breach of the examination regulations has been presented, he/she shall refer the matter either to the Examination Irregularities Panel or, in appropriate cases, to the University for investigation under its procedures<sup>10</sup>.
  5. If the matter is to be referred to the Examination Irregularities Panel, the Registrar, Student & Registry Services, shall write, enclosing a copy of these regulations, to the student against whom the allegation is made. The letter shall inform him/her of the allegation(s), and the decision to refer the matter to the Panel and shall invite him/her to attend the Panel hearing. The Registrar, Student & Registry Services, will ask for written confirmation, within ten working days of the receipt of the letter, of both the receipt of the letter and appropriate addresses for correspondence.
  6. The Chair(s) of the Programme Board or Boards of Examiners concerned, the Head(s) of Department(s)/Division(s) concerned (or, where the Department/Division is also the Chair of the Programme Board of Examiners concerned, the Departmental/Divisional Tutor) and the Secretary of the Examinations Irregularities Panel shall also receive a copy of the Registrar, Student & Registry Services', letter.
  7. All formal communications from UCL to the student concerned, following referral of the matter to the Registrar, Student & Registry Services, shall be in writing and delivered by hand or sent to his/her last known UK address or sent to the student's UCL email account, unless the student has notified UCL of an alternative address outside the UK. It is the responsibility of students to ensure that UCL's records of their addresses are up to date and that they can be contacted at these addresses, and that they check their UCL email accounts regularly. No provision can be made for an extension to the deadline at [paragraph 9.5.1.5](#) above if a student has failed to communicate to UCL any change of address. Every student should be advised to ensure that he/she can be readily contacted during the six weeks following the last Programme Board of Examiners meeting in the Summer Term (or, in the case of September Resit examinations, the last meeting of the Programme Board of Examiners concerned). Failure to do so will mean that (unless, exceptionally, the allegation(s) is reported to the Registrar, Student & Registry Services, after the end of the Summer Term) any allegation(s) will be considered in the student's absence.
  8. The Panel will normally meet once in the Autumn and Spring Terms and also prior to the main Programme Board of Examiners meetings in the summer. The dates when the Panel is to meet (if required) shall be set annually by the Registrar, Student & Registry Services, in consultation with the Vice-Provost (Education & Student Affairs). Students should be forewarned that decisions on any suspected breach of the regulations may be deferred until the next scheduled Examinations Irregularities Panel hearing is to be convened.

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<sup>9</sup> If the allegation is submitted by the Chair of the Programme Board of Examiners, a completed Report Form for an Allegation of a Breach of the Examination Regulations should also be completed (see Annex 6.2). If the report is submitted by the Examination Supervisor, a Suspected Examination Irregularity Statement form should normally be completed by both the Examination Supervisor and student concerned.

<sup>10</sup> Where necessary, the Registrar will ask the Chair of the Programme Board of Examiners to complete a Report Form for an Allegation of a Breach of the Examination Regulations.

## 9.5.2 Establishment and Procedure of Examination Irregularities Panel

1. The Examination Irregularities Panel shall be constituted as follows:
  - i) The Vice-Provost (Education & Student Affairs) (or his/her nominee if the Chair's own Department/Division/Faculty is involved), who shall be Chair of the Panel;
  - ii) A Faculty Tutor who shall be nominated by the Chair of the Panel and who shall neither be from any Department/Division involved nor Chair of any Programme Board of Examiners involved;
  - iii) A Sabbatical Officer of the [Students' Union UCL](#), normally the Education, Welfare or Medical and Postgraduate Officers, who shall not be from any Department/Division involved;
  - iv) The Director of [UCL Academic Services](#).
2. The Examination Irregularities Panel shall be serviced by a member of the Registry through whom all documentation will be passed. There shall be no communication, either written or oral, between the Examination Irregularities Panel and either the student or the member or members of staff concerned. Communication, either written or oral, by any party directly with members of the Examinations Irregularities Panel will not be admitted as part of the case documentation.
3. The Secretary to the Examination Irregularities Panel shall provide the student with a copy of the Report and all other information available to the Panel, confirm the date and time of the Panel meeting which he/she is invited to attend (see [paragraph 9.5.1.5 above](#)), and invite the student to submit, no later than a week before the meeting of the Panel, a statement in response to the allegation(s) (in addition to any he or she may have previously submitted). The statement may include any statements from witnesses.
4. The student shall also be advised that he/she may be accompanied by a 'friend' who must be a member of staff at UCL or a student currently registered at UCL, provided that the person chosen is not legally representing the student nor a member of the Examination Irregularities Panel or the Appeal Panel.
5. The student's statement, with any other information provided by the student, shall be copied to the Chair(s) of the Board(s) of Examiners concerned, who shall be invited to reply to any points raised in the statement(s) which have not been covered in the information so far received by the secretary of the Panel. Their replies should reach the secretary no later than two working days before the Examination Irregularities Panel in question and be circulated to all participants including the student(s) concerned.
6. The Panel shall have power to call further witnesses, as it sees fit, and will normally invite a representative from the Department/Division concerned, whose role will be to provide clarification on factual matters (e.g. departmental/divisional procedures, etc.), as necessary, in order to assist the Panel with its deliberations.
7. The sole purpose of the Panel hearing shall be to investigate the grounds on which the allegations have been made and to determine, where appropriate, the penalty to be imposed.
8. The Panel shall endeavour to reach a decision on all cases referred to it at the meeting on the agreed date(s) but may, if necessary, reconvene as required provided that it shall have reached a decision on all cases referred to it within ten working days of the date of its first meeting. The student against whom the allegation(s) is made shall be notified of the date of any reconvened meeting.
9. The quorum for the Examination Irregularities Panel shall be three including the Chair.
10. A single sound recording will be made by UCL of each hearing for the purpose of providing a factual record in the event of the hearing going to appeal. The recording will be destroyed following the final resolution of each case.
11. For the purpose of the meeting, a decision by the Examination Irregularities Panel on any point of procedure will be binding. That decision may be the subject of appeal before the Appeals Panel.

### 9.5.3 Decisions of the Examination Irregularities Panel

1. The decision of the Examination Irregularities Panel shall be reached by the majority vote of the members of the Panel present at the meeting(s), but shall be, and shall be announced as, the decision of the Panel.
2. If the votes of the Panel are evenly divided on the question of the appropriate finding or action to be taken then its decision shall always be in favour of the less serious finding or action to be taken.
3. The votes of individual Panel members shall always be treated as confidential and there shall be no disclosure either of such votes or of information showing whether the decision was reached by a unanimous or a majority vote.
4. At the conclusion of its consideration of the evidence the Panel shall determine whether a breach of the examination regulations has been committed and shall consider what action to take in respect of the student or students involved.
5. If the Panel finds that a breach of the examination regulations has been committed the Panel shall take the following into consideration in reaching its decision:
  - i) the seriousness of the offence;
  - ii) the relation of the assessment in question to the structure of the degree/diploma/certificate for which the student is registered;
  - iii) the effect in regard to the student's academic progression/Scheme of Award that the nullification of the assessment(s) in question would have (e.g. whether the assessment(s) in question is/are compulsory, or could be discounted when the award of the qualification is made);
  - iv) the arrangements for resitting/retaking the assessment(s) in question;
  - v) the effect in regard to the student's academic progression/Scheme of Award that failure of the assessment(s) in question would have on a student in normal circumstances.

### 9.5.4 Penalties Open to an Examination Irregularities Panel

1. The Examination Irregularities Panel may decide on one or more of the following actions:
  - i) that no irregularity has been committed and no further action be taken;
  - ii) that no further action be taken;
  - iii) that the student concerned be informally reprimanded and reminded of the need strictly to observe the provisions of the regulations. Such an informal reprimand shall not be entered on the student's record;
  - iv) that the student concerned be formally reprimanded and reminded of the need strictly to observe the provisions of the regulations; the Faculty Tutor shall inform the Registrar, Student & Registry Services, as soon as is practicable after the meeting of the Panel that such a formal reprimand has been given to the student concerned. Such a formal reprimand shall be entered on the student's departmental/divisional and UCL record as shall all other actions taken except 9.5.4.1i, ii and iii above;
  - v) that the performance of the student in part or in all of the assessments he/she sat in the year the breach of the regulations occurred be withheld;
  - vi) that the student not be permitted to re-enter for part or all of those assessments before the expiry of a stated period of time;
  - vii) that the student be permitted to re-enter for part or all of those assessments on the next normal occasion;
  - viii) that no degree/diploma/certificate be awarded to the candidate before the expiry of a stated period not exceeding three terms following satisfactory completion of the conditions for the award;
  - ix) that no degree/diploma/certificate be awarded to the candidate;
  - x) that the student be excluded from any future examinations of UCL for this programme or a different programme within UCL;

- xi) that the penalty be a variation on any of the above to reflect more appropriately the seriousness of the offence and/or the effect that the decision may have on the student's future academic progression;
  - xii) that a degree, diploma or certificate already awarded to a student should be revoked.
2. The penalty set out at paragraph 9.5.4.1.iv above will normally be included in the Panel's decision where a penalty or penalties within the range at paragraph 9.5.4.1.v above have been imposed.
  3. Where the Panel orders that the performance of a candidate in part or in all of the assessments in question under paragraph 9.5.4.1.v above be withheld, and the candidate is permitted to enter for the assessment(s) in question on a subsequent occasion, the candidate may, at the discretion of the Panel, be required to re-enter all prescribed elements of the component.
  4. Where the Panel orders that the performance of a candidate in all of the assessments he/she sat in the year the breach of the regulations occurred, under paragraph 9.5.4.1.v above, be withheld and the candidate is permitted to enter for these assessments on a subsequent occasion, the candidate may, at the discretion of the Panel, be required to re-enter all prescribed elements of the assessments.
  5. Where the decision is that the student be permitted to re-enter for part or all of those assessments under paragraphs 9.5.4.1.vi and 9.5.4.1.vii above, it may, at its discretion, order that the maximum mark that the student can be awarded on re-entering the assessment(s) in question be no more than the minimum pass mark for that assessment.
  6. The Panel may refer any matter raised in the course of its enquiry which it considers to fall outside its jurisdiction to the appropriate officer or agency (see Section 9.1).
  7. Findings and decisions of the Panel shall be delivered in writing to the student concerned at his/her last known UK address (see paragraph 9.5.1.7 above) and reported to the Chair(s) of the Board(s) of Examiners concerned and any person invited to attend as per paragraph 9.5.2.5 above normally within ten working days of the hearing being held.
  8. The findings and decisions shall not be published other than to the student and Chair(s) of the Board(s) of Examiners concerned and any person invited to attend as per paragraph 9.5.2.5 above until after the end of the period within which an appeal may be lodged<sup>11</sup>.
  9. Should the Panel's decision be that no irregularity has been committed, that decision shall also be communicated to any other persons concerned in the case whether as witnesses or otherwise.

### 9.5.5 Notice of Intention to Appeal

1. Any appeal against the decision of the Examinations Irregularities Panel shall be made under the following procedure.
2. Notice of intention to appeal shall be made in writing to the Registrar, Student & Registry Services, within ten working days of the date of the notification to the student of the decision in respect of which appeal is made. Such notice shall include all documentation pertaining to the grounds on which the appeal is being made. No further communications of any sort will be accepted for consideration under an appeal after this time.
3. An appeal should normally be made only on one or more of the following grounds:
  - i) that the Panel hearing was not conducted according to the above procedures;
  - ii) that fresh evidence has become available which was not, and which could not reasonably have been, made available to the Panel;

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<sup>11</sup> Where successful completion of a programme of study will lead to part or full professional accreditation or membership of a professional body or the right to practice professionally, UCL withholds the rights to notify the relevant professional body of any particulars of a proven offence.



- iii) that the penalty agreed by the Panel was inappropriate in relation to the offence.
4. As soon as is practicable after receipt of such notification the Registrar, Student & Registry Services, shall present the documentation relevant to the appeal to the Chair of the Appeals Panel who shall decide on the evidence available whether or not the appeal should be proceeded with in accordance with the grounds set out at [paragraph 9.5.5.3 above](#), and notify the Registrar, Student & Registry Services, to that effect normally within ten working days of receipt of the documentation.
5. If it is decided not to proceed with the appeal, the Registrar, Student & Registry Services, shall inform the appellant of the decision of the Chair of the Appeals Panel, giving reasons, normally within five working days of receiving it.
6. Where it is decided that the appeal shall be proceeded with, the Registrar, Student & Registry Services, shall inform the appellant and will make the necessary arrangements for the appeal to be held as early as possible, and in any case within three calendar months of receipt of the notification of intention to appeal. The appellant will be notified of the date of the appeal and will be invited to attend, accompanied by a 'friend' (see [paragraph 9.5.2.4 above](#)).
7. The constitution of an Appeals Panel shall be as follows:
  - i) the Chair of the UCL Education Committee, or their nominee, who shall be Chair of the Appeals Panel;
  - ii) two members of academic staff to be nominated by the Chair of Academic Board;
  - iii) a [Students' Union UCL](#) Sabbatical Officer or nominee.
8. None of the above shall have been a member of the Examination Irregularities Panel against whose decision the appeal is made, nor a member of any Department/Division involved, nor have assisted the appellant in any way with the presentation of his or her case for either the Examination Irregularities Panel or for the Appeals Panel.
9. The Chair of the Appeals Panel must be different to the Chair of the original Examinations Irregularities Panel under consideration e.g. where the Vice-Provost (Education & Student Affairs) chaired the original panel, he/she must nominate a different chair for the Appeals Panel).
10. The quorum for a Grievance Appeals Panel shall be three including the Chair.
11. The Secretary of a Grievance Appeals Panel shall be appointed by the Registrar, Student & Registry Services. He or she shall not have acted as secretary to the Examination Irregularities Panel<sup>12</sup>.
12. The Appeals Panel and all other parties shall be supplied with a statement of the grounds for appeal and a copy of the Report of the original proceedings and such other evidence as is considered appropriate.
13. A single sound recording will be made by UCL of each hearing for the purpose of providing a factual record in the event of the hearing going to appeal. The recording will be destroyed following the final resolution of each case.
14. An Appeals Panel shall have power to reverse or modify the decision appealed from in any way that it thinks fit.
15. In reaching its decision an Appeals Panel shall take into consideration the evidence provided under [paragraph 9.5.12 above](#).
16. The decision of an Appeals Panel shall be reached by a majority vote of the members of the Panel, and shall be announced as the decision of the Panel.
17. The votes of individual Panel members shall always be treated as confidential and there shall be no disclosure either of such votes or of information showing whether the decision was reached by a unanimous or a majority vote.
18. The Panel may adjourn for a period not exceeding seven days for the purpose of deciding upon the appropriate action to be taken upon the appeal.

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<sup>12</sup> The Registrar, Student & Registry Services, may also appoint a representative to act as an observer during the proceedings of the Appeals Panel and to provide the Panel with all relevant information relating to the appellant's academic position. The Chair of the original Panel or his/her nominee will also be invited to attend the Appeal hearing as a witness.

19. Within ten working days of the conclusion of the hearing the Appeals Panel shall notify the Registrar, Student & Registry Services, in writing of the outcome of the appeal. The Registrar, Student & Registry Services, will in turn notify all parties of the decision of the Appeals Panel and a report on its proceedings shall be submitted to the next appropriate meeting of UCL Education Committee.
20. A decision of an Appeals Panel shall be final as far as internal UCL procedures are concerned.

## 9.6 OIA Student Complaints Scheme

1. The Office of the Independent Adjudicator for Higher Education [OIA] has been established to provide an independent scheme for the resolution of student complaints. All Higher Education Institutions [HEIs] are required to comply with the Scheme which came into effect from 1 January 2005. Areas of complaints covered by the OIA will include:
  - i) a programme of study or research for which the complainant was registered;
  - ii) a service provided by UCL;
  - iii) a final decision by a UCL disciplinary or appeal body.
2. The OIA will not, however, advise about a complaint if:
  - i) it relates to a matter of academic judgement (which will normally be about a student's academic performance);
  - ii) the matter is or becomes the subject of court or tribunal proceedings;
  - iii) it concerns a student employment matter.
3. Forms and further details on the operation of the OIA are available from the [OIA website](#).

# 10 UCL Student Complaints Procedure

Contact: Casework Team, Student and Registry Services ([casework@ucl.ac.uk](mailto:casework@ucl.ac.uk))

## Section 1 – Guide to the UCL Student Complaints Procedure

### Introduction

1. UCL is committed to providing a high quality educational experience for all our students, reflected in excellent academic, administrative and pastoral support services. Our aim is for every student to be satisfied with their experience of UCL.
2. It is recognised that from time to time problems do arise and students may wish to express concern or dissatisfaction with aspects of UCL or the quality of services provided. UCL's policy is to encourage feedback regarding perceived problems so that they can be addressed and improvements made to the student experience. UCL sees the handling and monitoring of complaints as an important aspect of our quality assurance procedures.
3. Many complaints can be resolved at an informal and/or local level. UCL strongly encourages resolution of this kind and a student wishing to make representation under this procedure will be expected to have pursued informal resolution prior to bringing a formal complaint.
4. Complaints can also arise as a result of mismanaged expectations, by either party.

### Underlying Principles

5. UCL's Student Complaints Procedure (the '*Procedure*' hereafter) has been prepared in accordance with the [QAA's Code of Practice](#) for the assurance of academic quality and standards in Higher Education, and specifically Section 5: Academic Appeals and Student Complaints on academic matters.
6. In consideration of any complaint UCL will adhere to the following principles:
  - All complaints will be treated fairly, impartially, effectively and in a timely manner.
  - All complaints will be treated seriously and constructively, and can be made without fear of victimisation.
  - This Complaints Procedure applies throughout UCL and will be followed in all Schools, Faculties, Academic Departments and Professional Service Divisions.
  - The Complaints Procedure will provide a clear and accessible route for complaints, and will be transparent and well publicised.
  - Where UCL is found to have made a mistake or fallen short of reasonable expectations, an apology will be made, the mistake rectified where appropriate, and/or action taken to prevent the same mistake happening again.
  - Complaints will be monitored and analysed, with a view to addressing the root causes. UCL will report on actions taken as a result of complaints.
7. In consideration of any complaint UCL will adopt the following practices:
  - The Complaints Procedure focuses on resolving complaints rather than apportioning blame. Confidentiality owed to staff and students will be protected. Details of a complaint may, however, need to be shared with relevant parties in order for a full investigation to take place, and individuals named in a complaint will be made aware of the allegations and have the opportunity to give their version of events.

- Wherever possible and agreeable to the parties concerned, complaints will be resolved at a local level and/or without recourse to the formal Complaints Procedure.
- Repeated or vexatious complaints will not be considered.
- All parties involved in a complaint will be kept informed of the progress of the complaint at regular and appropriate intervals during the process.

## Scope of Complaints Procedure

8. A formal complaint considered under this Procedure can be one of two types:

(a) an **academic complaint** which may include any matter affecting the academic status of a student, such as: her/his progression; the results of examinations; award/degree classification; inadequate supervision; or perceived maladministration of an academic programme.

(b) a **non-academic complaint** may include any matter which (i) falls outside the definition of an academic complaint, (ii) is not covered by another UCL procedure and (iii) affects a student's experience at or of UCL and requires a response.

9. Where there is uncertainty over the type of complaint and corresponding process to be followed then a final decision will be made by the Registrar. In the event that a matter is raised under this Complaints Procedure which should be dealt with under another UCL procedure, then the matter will be referred to the UCL officer concerned for consideration under the appropriate procedure. This Complaints Procedure **does not** cover:

- Bullying and Harassment – <https://www.ucl.ac.uk/students/policies/conduct/harassment-and-bullying-policy>
- Complaints against Students' Union UCL – <http://studentsunionucl.org/how-to-guides/how-to-make-complaints-about-union>

10. A decision to proceed with a formal complaint will be made solely on the basis of the information set out on or accompanying the complaint application form. It is therefore imperative that the complaint is written in as clear and succinct a manner as possible and focuses on the key issues of complaint, avoiding vague allegations. Requested outcomes of a complaint must be clear and realistic.

## Academic Judgement

11. One of the most common grounds for making a complaint about an academic decision is the results of examinations. Whilst the Procedure can consider whether or not UCL's academic regulations and related procedures have been followed correctly, the Procedure cannot interfere with the operation of academic judgment. Complaints will not be considered where these are made on the grounds that the examiners' assessment of the performance of the candidate in the examination was incorrect or against academic decisions properly arrived at in accordance with approved procedures.

12. In this context, disparities in a student's performance between examinations (or between exam performance and a student's expectations) are not necessarily evidence of procedural irregularity or bias in the assessment process. It is not uncommon for students' attainment in examinations to be lower than they hoped for; similarly, student performance in some subject areas and assessment types will often be stronger than in others.

## Who Can Complain?

13. The Procedure can be used by the following:

- A registered student of UCL<sup>1</sup> on a recognised programme of study.
- A group of registered students of UCL on a recognised programme(s) of study – in which case the group must nominate one person to be its spokesperson, representing the group in all matters relating to the complaint. Where it is a group application a decision will be made on whether to deal with the complaint under this procedure or via an Academic Review Panel.
- A former student provided that the matter about which a complaint is being made occurred within the specified deadline for that particular complaint as set out in the relevant process below.
- Students at overseas UCL campuses are expected to use the complaints procedure of their local campus in the first instance. They are, however, also free to pursue a complaint through this Complaints Procedure if the complaint remains unresolved through the local procedure and provided that the complaint refers to a matter over which UCL has jurisdiction and power to deliver a remedy. In some cases, the complaints processes of overseas campuses may also be subject to the jurisdiction of local (e.g. state) or national legislation.

### **Anonymous Complaints**

14. Complaints require full investigation to enable resolution. Where a complaint is made anonymously, it will not be possible to undertake such an investigation. For practical reasons therefore, no action will be taken in the event of a complaint made anonymously.

### **Third Parties**

15. Anyone wishing to make a complaint is strongly encouraged to do so personally. A complaint received from a third party (including a parent) will be considered only with the express written permission of the person to whom the complaint relates giving the named third party power to act on their behalf.

### **Legal Advice**

16. The Procedure is not a legal process. It serves primarily as the formal mechanism by which consideration can be given to whether or not UCL has applied its regulations and/or procedures correctly and/or delivered its services to students satisfactorily, and whether any decision arrived at was both reasonable and proportionate.
17. Under the terms of this Procedure legal representation is not permitted in the event that the complaint is referred to a Complaints Panel.

### **Process**

18. If the matter complained about is the subject of legal or internal UCL proceedings and these have not yet been completed, then any complaint received under this Procedure will be stayed pending the outcome of the other proceeding.
19. All formal complaints will be considered in accordance with the Procedure in force at the time that the complaint is submitted and students wishing to submit a formal complaint are required to follow its provisions.
20. In most instances it is expected that the outcome of the complaint can be determined on the basis of the written material presented. Only in exceptional cases, and where on the basis of

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<sup>1</sup> For the purposes of this Procedure a registered student is defined as either a full-time, part-time, affiliate or intercollegiate student on a recognised programme of study leading to a formal award. Individuals undertaking 'short-courses' may not submit a complaint under this procedure.

the material presented it has not been possible to reach a decision on the complaint, will the matter be referred to a Complaints Panel.

### **Remedy**

21. The student is invited to indicate, if s/he wishes, the form of remedy which may be sought. While UCL will take such wishes into consideration in the resolution of the issue, this information is, nevertheless, given without prejudice to the final remedy determined.

### **Completion of Procedures Letter**

22. A Completion of Procedures letter will be issued once this Procedure has been exhausted. The letter will set out the issues that have been considered, UCL's final decision and the reasons for that decision. It will also inform the student of what further steps s/he may wish to take if they remain dissatisfied with the outcome.

### **Referral to the Office of the Independent Adjudicator [OIA]**

23. The Office of the Independent Adjudicator for Higher Education [OIA] provides an independent scheme for the resolution of student complaints. A complaint by a current or former student may be taken to the OIA once this Procedure has been exhausted and a Completion of Procedures letter has been issued.
24. Further details on the operation of the OIA are available from the [OIA web site](#).

### **Review and Monitoring**

25. This Procedure is monitored and co-ordinated by the Casework Team in Student and Registry Services. If you have any queries about this Procedure, please e-mail [casework@ucl.ac.uk](mailto:casework@ucl.ac.uk).
26. Senior UCL committees will receive an annual report on the operation of the Student Complaints Procedure during the preceding 12 calendar months, including a breakdown of the number of complaints received, the areas of UCL concerned and, when the Complaints Panel has met, a summary of its meetings and their outcomes.
27. This Procedure took effect from 1 April 2014 and superseded all previous relevant complaints policies and procedures. It is reviewed regularly.

## **Section 2 – Informal Resolution**

28. The first step is for the student to raise awareness of the problem, either by e-mail, phone or face-to-face, and discuss it with the relevant staff in the academic unit or service concerned. If the complaint concerns an academic matter the student should raise this with a member of staff in her/his Department or Faculty: for undergraduate and taught graduate students this might be either the Programme Director or Supervisor, her/his Personal Tutor or the Departmental Tutor/Graduate Tutor or Faculty Tutor/Faculty Graduate Tutor. A research student would be expected to approach either her/his primary or secondary supervisor, Head of the Research Unit or Faculty Graduate Tutor. If the complaint is not about an academic matter but about a different aspect of the student's experience at or of UCL then the student should try to resolve the matter informally in consultation with the person or unit against whom s/he has the complaint.
29. As a next step students are encouraged to contact the [UCL Student Mediator](#) after initial attempts to resolve the matter informally have failed but before a formal complaint under this Procedure is made. The UCL Student Mediator has the authority, on behalf of the Provost, to

mediate, to act relatively informally and speedily, and propose practical solutions to resolve justifiable student complaints on a 'without prejudice' basis.

30. Informal resolution, including referral to the UCL Student Mediator, will remain an option at all stages of the Procedure until the Procedure has been exhausted and a Completion of Procedures letter issued to the student.
31. Students may also find it helpful to approach the [Students' Union UCL Advice Service](#) for advice and support in submitting a complaint.

## Section 3 – Submitting a Complaint

32. Formal complaints should be made only if informal discussion fails to resolve the matter satisfactorily.
33. Academic complaints from registered students or former students which may be considered under this Procedure are restricted to one or more of the following areas.
  - 33.1 **Alleged deficiency in teaching/supervision received for some or all parts of the programme;**
  - 33.2 **Alleged unsatisfactory delivery/administration of a programme of study**, insofar as:
    - (a) published information about the programme was substantively misleading; or
    - (b) the programme was not organised or delivered in accordance with the information and documentation provided to students on the programme.
  - 33.3 **The results of examinations** (including alleged bias in the assessment or a decision not to permit transfer (i.e. upgrade) from MPhil to PhD, insofar as:
    - (a) either the examination and/or classification process was not conducted in accordance with the relevant regulations/procedures;
    - (b) there has been an arithmetical or transcription error in the compilation of the marks and/or the result;
    - (c) the examiners could not reasonably have been made formally aware of special circumstances (e.g. illness) notified by the candidate which significantly affected her/his performance in the examination;
    - (d) there is substantive evidence that one or more of the examiners can be shown to have been biased or prejudiced against the candidate in one or more specific examinations.
  - 33.4 **A decision not to readmit a student to UCL or to allow a student to continue on a programme of study on the grounds of unsatisfactory academic performance**, insofar as:
    - (a) The decision rests on an examination outcome where any of the provisions set out in 33.3 apply, that is:
      - i. the examination has not been conducted in accordance with the relevant regulations/procedures;
      - ii. there has been an arithmetical or transcription error in the compilation of the marks and/or the result;
      - iii. the examiners could not reasonably have been made formally aware of special circumstances (e.g. illness) notified by the candidate, which significantly affected her/his performance in the examination; and



iv. there is substantive evidence that one or more of the examiners can be shown to have been biased or prejudiced against the candidate in one or more specific examinations.

(b) There is evidence that performance for part or all of the programme was significantly affected by special circumstances (such as illness), which has not already been considered through the Extenuating Circumstances Policy or through support given under a Summary of Reasonable Adjustments. Complainants will be required to demonstrate valid reasons why they have not sought consideration under the Extenuating Circumstances Policy if they are raising matters for the first time as part of their complaint.

34. Complaints concerning alleged deficiency in teaching/supervision and/or unsatisfactory delivery/administration of a programme of study will not be considered if received after the student's results have been confirmed by UCL's Education Committee or Research Degrees Committee and published on Portico.

35. Complaints against unofficial results will not be considered. Formal complaints against the results of examinations can be made only when results have been confirmed by UCL's Education Committee or Research Degrees Committee and published on Portico.

36. Information regarding special circumstances (e.g. illness) must have been notified in writing with supporting documentation (e.g. a medical certificate), where appropriate, to the Departmental or Degree Programme Tutor as soon as possible but in any case not later than the day after the student's last examination in the session concerned. Extenuating circumstances not previously notified in accordance with UCL's Procedure for Extenuating Circumstances in force at the time of the complaint or relevant academic year will not be considered under this Procedure.

37. Non-Academic Complaints may include any matter which (i) falls outside the definition of an academic complaint, (ii) is not covered by another UCL procedure and (iii) affects a student's experience at or of UCL and requires a response.

### **The Complaints Process**

38. Where informal resolution is not possible, a student should submit to the Registrar ([casework@ucl.ac.uk](mailto:casework@ucl.ac.uk)) a completed [Students Complaints Form](#) soon as possible after the events to which it relates.

39. Subject to paragraphs 34-36 above and paragraph 41 below, all complaints must in any event be received by the Casework Team within twenty-eight days of the formal date of notification of the decision/award in question/event causing the complaint occurred.

40. If the form is received any later, the complaint shall be investigated only if evidence can be produced that the student has attempted genuinely to resolve the matter informally in accordance with Section 2 of this Procedure.

41. The Casework Team will acknowledge receipt of the complaint. Where necessary, further clarification on any issues raised in the complaint or on the academic status of the student may be sought at this time.

42. The complaint will be considered in the first instance by the Chair of the Complaints Panel (paragraphs 56-58 refer) and the student will be notified in writing by the Registrar of the decision to proceed/not to proceed with the complaint within ten days. If it is decided not to proceed with the complaint, the Registrar shall inform the student in writing of the decision, giving full reasons for this decision. The Registrar may delegate this responsibility to another member of Student and Registry Services staff and all references to the Registrar in this Procedure should be understood to include also the Registrar's delegate.



43. If it is decided to proceed with the complaint, the Registrar will notify the member(s) of staff concerned (i.e. the respondent(s)) that a complaint has been received.
- 43.1. For academic complaints this will include the relevant Faculty representative and/or Head of Department and/or Chair of the Board of Examiners.
- 43.2. For non-academic complaints this will normally be restricted to the head of the relevant unit of UCL.
44. The notification to the respondent(s) will include a copy of the complaint together with a copy of this Procedure and an invitation to respond formally to the complaint within fifteen days of notification. The respondent(s) may consult with any individuals who may have been involved or who may be able to provide information relevant to the matter under consideration.
45. The response will then be forwarded to the student who will also be given fifteen days to comment on the factual accuracy of the response.
46. The Registrar and Chair of the Panel will then determine, on the basis of the material presented, whether or not a decision on the complaint can be made. If it is decided that a decision can be made, the Registrar shall notify all parties in writing of the decision, giving reasons, as soon as is practicable and normally within ten days following the meeting between the Registrar and the Chair of the Panel. Depending on the outcome, this may include the issuing of a Completion of Procedures letter.
47. Where further consideration of the complaint is required, the Chair will establish a Complaints Panel ([Section 4](#) – Complaints Panel refers).

#### **Request for Review of the Decision made by the Registrar and Chair of the Complaints Panel**

48. In cases where a decision has been made by the Registrar and the Chair of the Panel and where the student remains dissatisfied, they may apply for a review of the decision within 10 working days of the date of the notification of the outcome of the complaint by the Registrar. Any such application for a review of the decision should be addressed to the Student Casework Team and submitted to [casework@ucl.ac.uk](mailto:casework@ucl.ac.uk), accompanied by a statement setting out the reasons why the review is requested and the evidence in support of this.
49. Requests for a review of a decision will only be granted on the grounds of:
- (i) procedural irregularities in the way in which the Registrar and the Chair of the Complaints Panel arrived at their decision;
  - (ii) new evidence that was not available to inform the decision and where it was impossible for that evidence to have been made available by the student at the time.
50. The Casework Team will acknowledge receipt of the application for a review of the decision and, where necessary, will seek further clarification on any new issues and evidence raised in the student's request for a review.
51. Where there are valid grounds for undertaking a review, the statement and new evidence provided by the student, along with the full information relating to the original complaint, will be submitted for decision within 10 working days as follows: (i) for academic complaints, to the Vice-Provost (Education and Student Affairs) or a nominee drawn from among the Faculty Tutors (including Faculty Graduate Tutors); (ii) for non-academic complaints, to the Head of a Professional Services Division appointed by the Registrar for the purpose. The person appointed to consider the appeal will have had no previous involvement in the complaint.
52. In deciding on the outcomes of the review, the options available to the relevant officer are:

- (i) to uphold the original decision made by the Registrar and Chair of the Complaints Panel;
- (ii) to refer the complaint for further consideration by a Complaints Panel (Section 4 – Complaints Panel refers);
- (iii) to amend the original decision of the Registrar and Chair of the Complaints Panel.

53. Unless it is decided to refer the complaint for further consideration by a Complaints Panel (see paragraph 52(ii) above), a Completion of Procedures letter will be issued at this stage.

## Section 4 – Complaints Panel

54. The Complaints Panel ('the Panel' hereafter) will consider the complaint and in so doing will:

- a) accord equal procedural treatment to both or all parties concerned;
- b) seek further clarification of the written evidence from whomever it feels appropriate;
- c) interview the parties concerned.

55. The sole purpose of the Panel will be to investigate the grounds of the complaint by the student; the Panel will not in any way constitute or be seen to constitute a disciplinary hearing against the member(s) of staff or UCL department, faculty or service concerned.

### Panel Membership

56. In cases of an academic complaint involving undergraduate or taught graduate programmes of study the Panel membership will comprise the Dean of Students (Academic) as Chair, a Faculty Tutor from a Faculty other than that in which the student is registered and a student representative (normally a Sabbatical Officer of the Students' Union UCL). Where the Dean of Students (Academic) is unable to act in the capacity as Chair he/she will nominate another Faculty Tutor to serve in this role.

57. In cases of an academic complaint involving a research programme, the Panel membership will comprise the Head of the Graduate School as Chair, a Faculty Graduate Tutor chosen from a Faculty other than that in which the student is registered and a student representative (normally a Sabbatical Officer of Students' Union UCL). Where the Head of the Graduate School is unable to act in the capacity as Chair he/she will nominate another Faculty Graduate Tutor to serve in this role.

58. In cases of a non-academic complaint the Panel membership will comprise the Vice-Provost (Operations) (or her/his nominee) as Chair, a senior manager chosen from one of the Professional Services Divisions or Schools/Faculties and a student representative (normally a Sabbatical Officer of Students' Union UCL).

59. Where the decision to establish a Complaints Panel arises as a result of a review of the decision made by the Registrar and the Chair of the Complaints Panel (see paragraph 52.2 above), the officer who took the decision on the review will not serve as Chair of the subsequent Complaints Panel.

60. The appointment of Panel members will be made with regard for an appropriate balance of diversity.

61. A member of staff from UCL Student and Registry Services may be appointed by the Registrar to support and advise a Panel as necessary in respect of UCL's Academic Regulations for Students and/or other relevant UCL regulations and procedures according to the nature of the complaint.

62. A member of staff from UCL Student and Registry Services will be appointed to act as Secretary to the Panel through whom all documentation will be passed. There will be no communication, either written or oral, between the Panel and either the student or the member or members of staff concerned. Communication, either written or oral, by any party directly with members of the Panel will not be admitted as part of the case documentation.
63. Where necessary, an independent expert in the field of study or related discipline may be appointed, subject to the agreement of all parties, to advise the Panel either orally or in writing.
64. Where a case is considered at more than one meeting of the Panel, the same Panel members who first considered the case will normally consider that case at a second or subsequent meeting.

### **Conduct of Hearings**

65. The conduct at a Complaints Panel will be determined by the Chair of the Panel so the complaint is heard in such manner as s/he considers appropriate and fair.
66. All documentation pertaining to the complaint must be received by all parties no later than ten days before the meeting of the Panel. No further communications of any sort will be accepted for consideration by the Panel after this time except at the sole discretion of the Chair of the Panel.
67. A single recording will normally be made by UCL of each hearing for the purpose of providing a factual record in the event of the hearing going to Review.
68. Both the student and member(s) of staff concerned are entitled to be present throughout a hearing except when the Panel deliberates on its decision. Only in exceptional circumstances, and with the agreement of all parties, may individuals be heard separately. Each party will be entitled to be accompanied during the Panel hearing by 'a friend'. The friend must be a member of UCL or Students' Union UCL.
69. Requests by either the student or member(s) of staff concerned to call witnesses will be decided by the Chair of the Panel.
70. If any party fails to attend the Panel, the Panel may proceed and determine the complaint in the absence of that party.

### **The Decision**

71. The decision of a Panel will be reached by a majority vote of the members of the Panel, and shall be announced as the decision of the Panel.
72. The votes of individual Panel members shall always be treated as confidential and there shall be no disclosure either of such votes or of information showing whether the decision was reached by a unanimous or a majority vote.
73. The Panel may adjourn for a period not exceeding seven days for the purpose of deciding upon the appropriate action to be taken.
74. The Panel will complete a written statement of its findings and decision within ten days of the date of the final meeting of the Panel. The Panel is authorised to impose a solution on the officers of the area of UCL in which the complaint occurred. Any compensating action proposed in the light of the complaint will not be implemented until it is clear if a review of the Panel's findings will be made and, if so, until the outcome of the review is known.
75. Subject to the rights of review, all decisions made in accordance with these procedures shall be binding on all parties.

## Section 5 – Review Procedure

76. If the student feels that the complaint has not been resolved satisfactorily by the Panel, s/he has the right to request that the matter be reviewed.
77. Notice of intention to seek a review of the outcome of the Panel may be made in writing by the student to the Registrar within twenty-one days of the date of the notification of the Panel's decision. Such notice must include all documentation pertaining to the grounds on which the review is being made. No further communications of any sort will be accepted for consideration under the review after this time.
78. A request for a review may be made only on one or more of the following grounds:
- a) that the complaint process was not conducted according to the above procedures;
  - b) that new evidence has become available which was not, and which could not reasonably have been made available to the Panel;
  - c) that the compensating action agreed by the Panel was inadequate in relation to the complaint.
79. As soon as is practicable after receipt of such notification the Registrar will present the documentation relevant to the review to the Chair of the Review Panel who will decide on the evidence available whether or not the review should be proceeded with in accordance with the grounds set out at above.
80. If it is decided not to proceed with the review, the Registrar will inform the student of the decision of the Chair of the Review Panel, giving reasons, accompanied by a Completion of Procedures letter.
81. Where it is decided that the review shall be proceeded with, the Registrar will inform all parties of the decision of the Chair of the Review Panel and will make the necessary arrangements for a Review Panel to consider the complaint as early as possible. The outcome of the review is expected to be determined within two calendar months of receipt of the notification of intention to seek a review.

### **Review Panel Membership**

82. Membership of a Review Panel will be drawn from an independent panel approved by Council. As far as is practicable, the appointment of Panel members shall be made with regard for an appropriate balance of diversity.
83. The Review Panel will have three members, including the Chair, who will be appointed by the Provost. In the event of the unforeseen unavailability of a Panel member, the Registrar may appoint a replacement.
84. The Secretary of a Review Panel will normally be appointed from UCL Student and Registry Services. S/he will not have acted as secretary to the Panel whose decision is now under review.
85. A Review Panel will review all of the evidence before it; will seek further clarification of the written evidence from whomever it feels appropriate; and will have the power to reverse or modify the decision reviewed in any way that it thinks fit. Where new evidence is considered which was not available to the Complaints Panel, the Chair of the first Panel will be given the opportunity to respond to the new material. Only exceptionally, and on its own initiative, will a Review Panel interview the student and member(s) of staff concerned. On such occasions the procedure for conducting a panel interview will be as prescribed under the procedures for establishing a Panel.

86. The decision of a Review Panel will be reached in accordance with the decision-making procedure as prescribed for a Panel.
87. The Review Panel will notify the Registrar in writing of the outcome of the Review. The Registrar will in turn notify all parties of the decision of the Review Panel and issue a Completion of Procedures letter to the student.
88. A decision of the Review Panel shall be final as far as this Procedure is concerned.

**December 2018**

# 11 Public Complaints about UCL

1. Persons other than current staff or students of UCL who wish to make a complaint about their experience of UCL should follow the advice below.
2. Anyone who wishes to make a complaint about her/his experience of UCL should try first to resolve the matter informally, in consultation with either the person who has caused the complaint, or with that person's line manager, or with another appropriate person within the area of UCL where the complaint has arisen. If a complaint cannot be resolved informally, the person wishing to make the complaint should put details of the matter causing complaint in writing to the Chief Operating Officer via [casework@ucl.ac.uk](mailto:casework@ucl.ac.uk). In order for a complaint to be considered, these details must normally be received by the Chief Operating Officer no later than one calendar month after the date on which the event causing the complaint occurred. If the form is received any later, the Chief Operating Officer will exercise discretion as to whether or not to investigate the matter.
3. The complainant is invited to indicate, if he/she wishes, the form of remedy which may be sought. While UCL will take such wishes into consideration in the resolution of the issue, this information is, nevertheless, given without prejudice to the final outcome.

# 12 UCL-Student Relationship Terms and Conditions

## 12.1 General

1. These terms and conditions, together with various other policies referred to in them, (**Terms**) apply to and define the relationship between UCL and you in relation to your participation in and receipt of services in connection with a degree programme or other programme or course of study at UCL (**Programme**).
2. UCL is committed to providing a learning, working and social environment in which the rights and dignity of all its members are respected, and which is free from discrimination, prejudice, intimidation and all forms of harassment including bullying.
3. This commitment means that all students of UCL have the right to study or work in an environment free from discrimination, prejudice and all forms of harassment or bullying.
4. This commitment also reflects the fact that the relationship you as a student have with UCL is contractual. The Terms are not defined or set out in a single document but have a number of sources and the purpose of these Terms is twofold:
  - i) to provide guidance about the principal terms and conditions that define the contractual relationship between UCL and you and;
  - ii) to draw your attention to where the full sources are published.
5. In some places these Terms may seem overbearing or negative; however, the content has been drawn from policies and procedures which already exist or are common to similar documents that exist at other institutions. It should also be recognised that these Terms exists above all to protect your rights and to ensure a continuous and positive relationship between you and UCL during your time as a student at UCL.
6. Changes to Terms: UCL may from time to time need to make changes to these Terms. While we will try not to make changes, if we need to do so we will only make reasonable changes and will notify you of changes to these terms by posting the latest version on the UCL website.
7. Changes to Programmes:
  - a) The organisation, timetabling and operation of Programmes is a significant and complex exercise. There are numerous internal and external factors which impact on how UCL is able to manage its teaching and learning spaces and resources.
  - b) To ensure that our Programmes are run effectively for the benefit of our student body as a whole, we need to retain the ability to alter aspects of individual Programmes where we think this is reasonable and is needed. This may include changes to timetabling, location, teaching staff allocation, number of classes, method of delivery, content, assessment, syllabus and/or module availability.
  - c) We will communicate any such changes to you in a timely manner. Where changes are likely to have a more significant impact on your studies, we will consult with you before final decisions are taken and listen to your concerns. We will take into account the concerns of individual students and assess these against the needs of the wider student body.
  - d) If UCL has to cancel a Programme or make a change of a fundamental nature to a Programme, you may end your relationship with UCL by giving notice in writing to UCL. You may be entitled to a refund of tuition fees and other monies paid in these circumstances.
  - e) If we cancel your Programme, we will help you, where we able, to identify an alternative course (potentially at another institution) that is similar.
  - f) UCL may need to change or cancel part of or an entire Programme due to circumstances beyond its reasonable control and foreseeability and may do so without liability provided that notice of the change or cancellation is given. Examples of such circumstances include industrial action, over or under demand for courses or

modules, lack of funding, non-availability of suitable staff, severe weather, fire, civil disorder, political unrest, government restrictions and concern with regard to the transmission of serious illness. If the circumstances are continuing for a period of more than 30 days, either you or UCL may terminate the contract without liability immediately on giving written notice to the other.

8. UCL issues promotional materials in relation to its Programmes and study at UCL. While we endeavour to make sure those promotional materials are clear and correct, we cannot guarantee that they are or will be at all material times. Any promotional materials should be considered indicative and are not intended to be contractual.

## 12.2 Condition of Admission to UCL

1. Your offer of admission to UCL is subject to UCL's General Conditions for Entry relating to your qualifications, proficiency in English, tuition fee status, agreement to pay tuition fees and declaration of any criminal convictions. The General Conditions for Entry, along with any particular conditions or requirements, were set out in UCL's formal offer of admission to you.
2. UCL is entitled to withdraw or amend its offer of admission to you, or terminate your registration at UCL, if it is discovered that you have made false statements or omitted significant information in your application to UCL.
3. Your admission to UCL is also subject to your agreement to follow UCL's procedures for registration and enrolment and to comply with the terms and conditions identified in this document. Upon registering at UCL you agree to abide by the rules, regulations and statutes of UCL that are currently in force (and to which links are provided in this document) which govern your studies, learning and conduct at UCL and your use of services provided to you by UCL.
4. You are responsible for making yourself aware of these rules and regulations, of which the more important ones are summarised in the Current Students web pages. In addition, research students and taught graduate students must adhere to the respective UCL Doctoral School Code of Practice for Graduate Research Degrees. A detailed list of the other significant documents which define the formal relationship between UCL and you is set out in [Section 12.17: Relevant Documents and Information](#).

## 12.3 Delivery and Exclusion of Liability

1. UCL will provide you with tuition, learning opportunities and other related services relevant to your programme and modules. Specific details relating to the delivery of your programme will be provided before or at the time of your registration on your programme.
2. If you successfully fulfil all of the requirements of your programme and registration and abide by the regulations identified in this document, you will be eligible for the award of the appropriate UCL qualification. Certain programmes of study may also lead to professionally-accredited qualifications.

## 12.4 Payment of Fees and Other Charges

1. You are responsible for ensuring your tuition fees, accommodation fees and all other charges incurred by you at UCL are paid in a prompt and timely fashion. Where a third party is responsible for payments on your behalf, you must ensure that they similarly pay in a prompt and timely fashion. Demands for payment will be made in accordance with UCL's practice at the time.
2. If any fee or charge connected to your study at UCL (including tuition fees, library fees and other academic fees) remains outstanding after the due date for payment, UCL reserves the right to stop providing you with access to the relevant service until the fees or charges are paid. In the case of non-payment of library fees, for example, we may suspend your access to the library and/or library services. In the case of non-payment of



tuition fees, we may end our contract with you and cease providing you with tuition, learning opportunities and other related services relevant to your programme of study. UCL may take appropriate and proportionate action as it considers necessary to recover overdue academic fees or charges, including suspension of your registration for specific services, withholding any award you are entitled to and taking legal action against you to recover the outstanding amounts.

3. Fees are not normally refundable. Applications in writing for partial refunds will be considered in special circumstances. Refunds requested more than one year after payment has been made will not be considered.
4. In addition to the above, we may charge interest on any outstanding fee or charge (calculated at an annual rate of 3% above the Bank of England base rate). This means that if you are overdue in paying £9,000 in tuition fees and the base rate is 0.5%, interest will accrue at £315 per year or £0.86 per day.

## 12.5 General Student Conduct

1. You should make yourself aware of, and abide by, Section 8: Student Disciplinary Code and Procedure which sets out the standard of conduct and behaviour reasonably expected of you and which also includes awareness of the right of UCL to suspend or exclude you on disciplinary grounds.
2. You should make yourself aware of the academic regulations set out in the UCL Academic Manual, in particular Chapter 1: Student Recruitment and Admissions Framework, Chapter 4: Assessment Framework for Taught Programmes and Chapter 5: Assessment Framework for Research Programmes. These include regulations about academic progress, attendance, examinations and also include awareness of the right of UCL to suspend or exclude you from your studies on academic grounds.
3. Under Section 7 of the Health and Safety at Work Act 1974, you have a legal responsibility to take reasonable care of yourself and all others who may be affected by your acts and omissions, and to co-operate in enabling UCL to discharge its legal duties with regard to health and safety, including implementation of the UCL Statement of Safety Policy. It is a condition of registration for students that they also co-operate with UCL in this respect. Students who undertake fieldwork are also required to acquaint themselves with the relevant UCL policies and guidance notes.
4. Where a programme of study also leads to a professionally-accredited qualification, the relevant professional body may also have its own code of conduct which students on such programmes should make themselves aware of. UCL also has an obligation to disclose to such bodies any information it considers to be relevant to a student's future professional accreditation.
5. Section 1: Code of Conduct for Students has been produced by UCL Union and outlines the expected behaviour of UCL students during their time at UCL. There is nothing new, since all of it can be found in the Academic Manual, and a lot of it is common sense; this just makes it a bit more accessible, and is meant to remind you of basic good behaviour.

## 12.6 Intellectual Property Rights

1. UCL generally recognises that students own the IPR in any work that they produce as part of their programme of study at UCL. However, there are some circumstances where ownership has to be shared or be granted to UCL or a third party; these circumstances are outlined in UCL's policy on Intellectual Property Rights (IPR).

## 12.7 Accommodation

1. If you have secured a place in university accommodation, this is subject to your continued registration as a full-time student at UCL. There are specific terms and

conditions that apply to the provision of such accommodation to you, details of which are available from UCL Student Residences.

## 12.8 IT Facilities

You will have access to UCL's IT facilities while you are a registered student at UCL, but you are expected to use these facilities in an acceptable manner. You must familiarise yourself with the UCL Information Security Policy; this includes an awareness that failure to comply with these regulations may lead to disciplinary action, up to and including dismissal from UCL without notice, and may expose you to court proceedings attracting both criminal and civil liability.

## 12.9 Library Facilities

You will have access to UCL's Library facilities while you are a registered student at UCL. Your use of the Library facilities will be subject to the UCL Library Regulations; you should familiarise yourself with those regulations. This includes awareness that failure to comply with those regulations may lead to certain sanctions, penalties and/or other disciplinary action.

## 12.10 Disability

The UCL Student Disability Policy outlines the ways in which UCL addresses the needs of disabled students. UCL is firmly committed to offering an excellent education to all students and central to this policy is UCL's intention to take account of individual need and to work with disabled students to find appropriate and practical solutions to any problems that might arise.

## 12.11 Insurance

UCL does not accept responsibility for any loss or damage to your property. You are advised to arrange relevant insurance against theft and other risks before coming to UCL. In certain circumstances, you may need to take out other types of insurance, for example health insurance while on an overseas placement. Any queries regarding insurance should be addressed in the first instance to your department.

## 12.12 Data Protection

Personal information on students is held by various UCL and University of London support services. The data is held for the purposes of operating several internal UCL or University of London processes, including admissions procedures and maintenance of your academic records after admission. The data is also required for the purposes of compiling statutory statistical and personal returns which UCL is obliged to make to certain external or governmental agencies. When you leave UCL, we will provide your information and data to UCL's Development and Alumni Relations Office (DARO). DARO will provide you with information on how they will use your information but you consent to us providing the information to DARO when you leave UCL. Further details are available via the UCL General Statement on Data Protection.

## 12.13 Notices

1. Any notice or other information relating to the formal relationship between you and UCL that you need to give to UCL, or that UCL needs to give to you, must be in writing and

may be given by hand or sent by e-mail, post, or fax. UCL will use e-mail as a primary means of communication for sending you important information, although any particularly important documents will also be sent by post to your last recorded address.

2. You should check your UCL e-mail account regularly, as UCL cannot be held responsible for the consequences of any messages that you have not read or if messages were lost or delayed when automatically forwarded to a personal e-mail address (e.g. Hotmail, Yahoo, etc).
3. You are responsible for maintaining up-to-date address and other contact details via your Portico account, otherwise any notices or information sent to your last recorded address will be deemed to have been properly given.
4. UCL may also draw your attention to important information through announcements on UCL's website, Portico and through messages on the computer desktop when you log-on to UCL network.

## 12.14 Student Complaints Procedure

1. UCL has an established Student Complaints Procedure for dealing with both academic and non-academic complaints and representations from students. Formal complaints should only be submitted if informal discussion fails to resolve the matter satisfactorily or would be wholly inappropriate and if there appear to be genuine grounds for making a complaint.
2. The Office of the Independent Adjudicator (OIA) for Higher Education was designated as the student complaints scheme under the Higher Education Act 2004 and was established formally with effect from 1 January 2005. Where a complaint has exhausted all of UCL's internal procedures, and subject to meeting the OIA's criteria, a student may take their complaint to the OIA. Further details are available from the [OIA web site](#).
3. The Rights and Advice Office, which is based in the UCL Students' Union, is a central point of information on all aspects of concern to students, including financial, welfare and academic matters.

## 12.15 Governing Law and Third Parties

1. The contractual relationship between you and UCL shall be governed by, and interpreted in accordance with, the laws of England and Wales. By entering into this relationship, UCL and you agree to accept the authority of the courts of England and Wales.
2. If any condition of this relationship is found to be void or unenforceable (in whole or in part) by any court or other competent authority, the rest of the contractual relationship will continue to apply.
3. UCL's contractual relationship with its students does not confer third party benefits for the purposes of the Contract (Rights of Third Parties) Act 1999.

## 12.16 Questions and Useful Contacts

If you have a query about any of the terms set out in this Statement you should initially contact the relevant office within UCL. If you have a query about this Statement which cannot be resolved by colleagues in any of the offices named above, then please send your query to the Registrar, by e-mail to [srs-compliance@ucl.ac.uk](mailto:srs-compliance@ucl.ac.uk).

## 12.17 Relevant Documents and Information

- [UCL Prospectus and other recruitment material](#)
- General Conditions for Entry – supplied with offer letter, not available online
- [Students website](#)
- [Tuition fees](#)

- Accommodation fees
- UCL Information Security Policy
- UCL e-mail
- UCL Library Regulations
- UCL Student Disability Policy
- UCL General Statement on Data Protection
- Intellectual Property Rights (IPR)
- Chapter 6, Section 1: Code of Conduct for Students
- Chapter 6, Section 8: Student Disciplinary Code and Procedure
- Chapter 6, Section 10: UCL Student Complaints Procedure